

APPENDIX A

Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories

Quality Assurance Standards **for Convicted Offender DNA Databasing Laboratories**

PREFACE

Throughout its deliberation concerning these quality standards, the DNA Advisory Board recognized the need for a mechanism to ensure compliance with the standards. An underlying premise for these discussions was that accreditation would be required to demonstrate compliance with the standards and therefore assure quality control and a quality program. Accordingly, the Board recommends that forensic laboratories performing DNA analysis seek such accreditation with all deliberate speed. Additionally, the Board strongly encourages the accrediting bodies to begin positioning themselves to accommodate the increasing demand for accreditation.

INTRODUCTION

Forensic DNA identification analysis currently involves forensic casework and convicted offender analyses. These complementary functions demand adherence to the highest analytical standards possible to protect both public safety and individual rights. Separate standards have been drafted for laboratories performing these functions. This separation is an acknowledgment of the differences in the nature or type of sample, the typical sample quantity and potential for reanalysis, and specialization that may exist in a laboratory. Standards for convicted offender laboratories, in some instances, are less stringent than for those performing forensic casework analyses, but in no case should the two documents be interpreted as conflicting.

This document consists of definitions and standards. The standards are quality assurance measures that place specific requirements on the laboratory. Equivalent measures not outlined in this document may also meet the standard if determined sufficient through an accreditation process.

MECHANISM TO RECOMMEND CHANGES TO STANDARDS

Once the Director of the Federal Bureau of Investigation (FBI) has issued standards for quality assurance for convicted offender DNA testing, the DNA Advisory Board may recommend revisions to such standards to the FBI Director, as necessary. In the event that the duration of the DNA Advisory Board is extended beyond March 10, 2000, by the FBI Director, the Board may continue to recommend revisions to such standards to the FBI Director. In the event that the DNA Advisory Board is not extended by the FBI Director after March 10, 2000, the Technical Working Group on DNA Analysis Methods (TWGDAM) may recommend revisions to such standards to the FBI Director, as necessary.

EFFECTIVE DATE

These Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories take effect April 1, 1999.

REFERENCES:

American Society of Crime Laboratory Directors-Laboratory Accreditation Board (ASCLD-LAB), *ASCLD-LAB Accreditation Manual*, January 1994, and January, 1997.

Federal Bureau of Investigation, *Quality Assurance Standards for Forensic DNA Testing Laboratories*, (1998)

International Standards Organization (ISO)/International Electrotechnical Commission (IEC), *ISO/IEC Guide 25-1990*, (1990) American National Standards Institute, New York, NY.

Technical Working Group on DNA Analysis Methods, "Guidelines for a Quality Assurance Program for DNA Analysis," *Crime Laboratory Digest*, April 1995, Volume 22, Number 2, pp. 21-43.

42 Code of Federal Regulations, Chapter IV (10-1-95 Edition), Health Care Financing Administration, Health and Human Services.

1. SCOPE

The standards describe the quality assurance requirements that a government laboratory which is defined as a facility in which convicted offender DNA testing is regularly performed should follow to ensure the quality and integrity of the data and competency of the laboratory. These standards do not preclude the participation of a laboratory, by itself or in collaboration with others, in research and development, on procedures that have not yet been validated.

2. DEFINITIONS

As used in these standards, the following terms shall have the meanings specified:

- (a) Administrative review is an evaluation of the documentation for consistency with laboratory policies and for editorial correctness.
- (b) Amplification blank control consists of only amplification reagents without the addition of sample DNA. This control is used to detect DNA contamination of the amplification reagents.
- (c) Analytical procedure is an orderly step-by-step procedure designed to ensure operational uniformity and to minimize analytical drift.
- (d) Audit is an inspection used to evaluate, confirm, or verify activity related to quality.
- (e) Batch is a group of samples analyzed at the same time.
- (f) Calibration is the set of operations which establish, under specified conditions, the relationship between values indicated by a measuring instrument or measuring system

- or values represented by a material and the corresponding known values of a measurement.
- (g) CODIS is the Combined DNA Index System administered by the FBI. It houses DNA profiles from convicted offenders, forensic specimens, population samples and other specimen types.
 - (h) Commercial test kit is a preassembled kit that allows the user to conduct a specific DNA identification test.
 - (i) Convicted offender is an individual who is required by statute to submit a standard sample for DNA databasing.
 - (j) Convicted offender database (CODIS) manager or custodian (or equivalent role, position, or title as designated by the laboratory director) is the person responsible for administration and security of the laboratory's CODIS.
 - (k) Convicted offender standard sample is biological material collected from an individual for DNA analysis and inclusion into CODIS. See also database sample.
 - (l) Critical equipment or instruments are those requiring calibration prior to use and periodically thereafter.
 - (m) Critical reagents are determined by empirical studies or routine practice to require testing on established samples before use in order to prevent unnecessary loss of sample.
 - (n) Database sample is a known blood or standard sample obtained from an individual whose DNA profile will be included in a computerized database and searched against other DNA profiles.
 - (o) Examiner/analyst (or equivalent role, position, or title as designated by the laboratory director) is an individual who conducts and/or directs the analysis of samples, interprets data and reaches conclusions.
 - (p) Known samples are biological material whose identity or type is established.
 - (q) Laboratory is a government facility in which convicted offender DNA testing is performed or a government facility who contracts with a second entity for such testing.
 - (r) Laboratory support personnel (or equivalent role, position, or title as designated by the laboratory director) are individual(s) who perform laboratory duties and do not analyze samples.
 - (s) NIST is the National Institute of Standards and Technology.

- (t) Polymerase Chain Reaction (PCR) is an enzymatic process by which a specific region of DNA is replicated during repetitive cycles which consist of (1) denaturation of the template; (2) annealing of primers to complementary sequences at an empirically determined temperature; and (3) extension of the bound primers by a DNA polymerase.
- (u) Proficiency test sample is biological material whose DNA type has been previously characterized and which is used to monitor the quality performance of a laboratory or an individual.
- (v) Proficiency testing is a quality assurance measure used to monitor performance and identify areas in which improvement may be needed. Proficiency tests may be classified as:
 - (1) Internal proficiency test is one prepared and administered by the laboratory.
 - (2) External proficiency test, which may be open or blind, is one which is obtained from a second agency.
- (w) A Qualifying test measures proficiency in both technical skills and knowledge.
- (x) Quality assurance includes the systematic actions necessary to demonstrate that a product or service meets specified requirements for quality.
- (y) A quality manual is a document stating the quality policy, quality system and quality practices of an organization.
- (z) Quality system is the organizational structure, responsibilities, procedures, processes and resources for implementing quality management.
- (aa) Reagent blank control consists of all reagents used in the test process without any sample. This is to be used to detect DNA contamination of the analytical reagents.
- (bb) Reference material (certified or standard) is a material for which values are certified by a technically valid procedure and accompanied by or traceable to a certificate or other documentation which is issued by a certifying body.
- (cc) Restriction Fragment Length Polymorphism (RFLP) is generated by cleavage by a specific restriction enzyme and the variation is due to restriction site polymorphism and/or the number of different repeats contained within the fragments.
- (dd) Review is an evaluation of documentation to check for consistency, accuracy, and completeness.
- (ee) Second agency is an entity or organization external to and independent of the laboratory and which performs DNA identification analysis.

- (ff) Secure area is a locked space (for example, cabinet, vault or room) with access restricted to authorized personnel.
- (gg) Subcontractor is an individual or entity having a transactional relationship with a laboratory.
- (hh) Technical manager or leader (or equivalent position or title as designated by the laboratory director) is the individual who is accountable for the technical operations of the laboratory.
- (ii) Technical review is an evaluation of reports, notes, data, and other documents to ensure an appropriate and sufficient basis for the scientific conclusions. This review is conducted by a second qualified individual.
- (jj) Technician (or equivalent role, position, or title as designated by the laboratory director) is an individual who performs analytical techniques on samples under the supervision of a qualified examiner/analyst and/or performs DNA analysis on samples for inclusion in a database.
- (kk) Traceability is the property of a result of a measurement whereby it can be related to appropriate standards, generally international or national standards, through an unbroken chain of comparisons.
- (ll) Validation is a process by which a procedure is evaluated to determine its efficacy and reliability for DNA analysis and includes:
 - (1) Developmental validation is the acquisition of test data and determination of conditions and limitations of a new or novel DNA methodology for use on samples.
 - (2) Internal validation is an accumulation of test data within the laboratory to demonstrate that established methods and procedures perform as expected in the laboratory.

3. QUALITY ASSURANCE PROGRAM

STANDARD 3.1 The laboratory shall establish and maintain a documented quality system that is appropriate to the testing activities.

3.1.1 The quality manual shall address at a minimum:

- (a) Goals and objectives
- (b) Organization and management
- (c) Personnel qualifications and training
- (d) Facilities
- (e) Sample control
- (f) Validation
- (g) Analytical procedures
- (h) Calibration and maintenance

- (i) Proficiency testing
- (j) Corrective action
- (k) Documentation
- (l) Review
- (m) Safety
- (n) Audits

4. ORGANIZATION AND MANAGEMENT

STANDARD 4.1 The laboratory shall:

- (a) have a managerial staff with the authority and resources needed to discharge their duties and meet the requirements of the standards in this document.
- (b) have a technical manager or leader who is accountable for the technical operations.
- (c) have a CODIS manager or custodian who is accountable for CODIS operations.
- (d) specify and document the responsibility, authority, and interrelation of all personnel who manage, perform or verify work affecting the validity of the DNA analysis.

5. PERSONNEL

STANDARD 5.1 Laboratory personnel shall have the education, training and experience commensurate with the examination and testimony provided. The laboratory shall:

- 5.1.1 have a written job description for personnel to include responsibilities, duties and skills.
- 5.1.2 have a documented training program for qualifying all technical laboratory personnel.
- 5.1.3 have a documented program to ensure technical qualifications are maintained through continuing education.
 - 5.1.3.1 Continuing education - the technical manager or leader, CODIS manager or custodian, and examiner/analyst(s) must stay abreast of developments within the field of DNA typing by reading current scientific literature and by attending seminars, courses, professional meetings or documented training sessions/classes in relevant subject areas at least once a year.
- 5.1.4 maintain records on the relevant qualifications, training, skills and experience of the technical personnel.

STANDARD 5.2 The technical manager or leader shall have the following:

- 5.2.1 Degree requirements: The technical manager or leader of a laboratory

shall have, at a minimum, a Master's degree in biology-, chemistry-, or forensic science-related area and successfully completed a minimum of 12 semester or equivalent credit hours of a combination of undergraduate and graduate course work covering the subject areas of biochemistry, genetics and molecular biology (molecular genetics, recombinant DNA technology), or other subjects which provide a basic understanding of the foundation of forensic DNA analysis, as well as statistics and/or population genetics as it applies to forensic DNA analysis.

5.2.1.1 The degree requirements of section 5.2.1 may be waived by the American Society of Crime Laboratory Directors (ASCLD) or other organizations designated by the Director of the FBI in accordance with criteria approved by the Director of the FBI. This waiver shall be available for a period of two years from the effective date of the standards. The waiver shall be permanent and portable.

5.2.2 Experience requirements: A technical manager or leader of a laboratory shall have a minimum of three years of relevant problem solving or related analytical laboratory experience.

5.2.3 Duty requirements:

5.2.3.1 General: manages the technical operations of the laboratory.

5.2.3.2 Specific duties:

- (a) Is responsible for evaluating all methods used by the laboratory and for proposing new or modified analytical procedures to be used by examiners.
- (b) Is responsible for technical problem solving of analytical methods and for the oversight of training, quality assurance, safety and proficiency testing in the laboratory.

5.2.3.3 The technical manager or leader shall be accessible to the laboratory to provide on-site, telephone or electronic consultation as needed.

STANDARD 5.3 CODIS manager or custodian shall have the following:

5.3.1 Degree requirements: A CODIS manager or custodian shall have, at a minimum, a Bachelor's degree in a natural science or computer science.

5.3.2 Experience requirements: A CODIS manager or custodian shall have a working knowledge of computers, computer networks, and computer database management, with an understanding of DNA profile

interpretation.

5.3.3 Duty requirements:

- (a) Is the system administrator of the laboratory's CODIS network and is responsible for the security of DNA profile data stored in CODIS.
- (b) Is responsible for oversight of CODIS computer training and quality assurance of data.
- (c) Has the authority to terminate the laboratory's participation in CODIS in the event of a problem until the reliability of the computer data can be assured. The state CODIS manager or custodian has this authority over all CODIS sites under his/her jurisdiction.

STANDARD 5.4 Examiner/analyst shall have the following:

- 5.4.1 Degree requirements: An examiner/analyst shall have, at a minimum, a Bachelors degree or its equivalent degree in biology-, chemistry-, or forensic science-related area and must have successfully completed college course work (graduate or undergraduate level) covering the subject areas of biochemistry, genetics and molecular biology (molecular genetics, recombinant DNA technology) or other subjects which provide a basic understanding of the foundation of forensic DNA analysis, as well as course work and/or training in statistics and population genetics as it applies to forensic DNA analysis.
- 5.4.2 Experience requirements: An examiner/analyst shall have a minimum of six (6) months of DNA laboratory experience, including the successful analysis of a range of samples typically encountered in convicted offender analysis prior to independent work using DNA technology.
- 5.4.3 An examiner/analyst shall have successfully completed a qualifying test before beginning independent work responsibilities.

STANDARD 5.5 Technician shall have:

- 5.5.1 on-the-job training specific to their job function(s).
- 5.5.2 successfully completed a qualifying test before participating in DNA typing responsibilities.

STANDARD 5.6 Laboratory support personnel shall have:

- 5.6.1 training, education and experience commensurate with their responsibilities as outlined in their job description.

6. FACILITIES

STANDARD 6.1 The laboratory shall have a facility that is designed to provide adequate security and minimize contamination. The laboratory shall ensure that:

- 6.1.1 Access to the laboratory is controlled and limited.
- 6.1.2 Prior to PCR amplification, evidence examinations, liquid sample examinations, DNA extractions, and PCR setup are conducted at separate times or in separate spaces.
- 6.1.3 Amplified DNA product is generated, processed and maintained in a room(s) separate from the evidence examination, liquid blood examinations, DNA extractions and PCR setup areas.
- 6.1.4 A robotic work station may be used to carry out DNA extraction and amplification in a single room, provided it can be demonstrated that contamination is minimized and equivalent to that when performed manually in separate rooms.
- 6.1.5 The laboratory follows written procedures for monitoring, cleaning and decontaminating facilities and equipment.

7. SAMPLE CONTROL

STANDARD 7.1 The laboratory shall have and follow a documented sample inventory control system. This system shall ensure that:

- 7.1.1 Offender samples are marked for identification.
- 7.1.2 Documentation of sample identity, collection, receipt, storage, and disposition is maintained.
- 7.1.3 The laboratory follows documented procedures that minimize sample loss, contamination, and/or deleterious change.
- 7.1.4 The laboratory has secure areas for sample storage including environmental control consistent with the form or nature of the sample.

8. VALIDATION

STANDARD 8.1 The laboratory shall use validated methods and procedures for DNA analyses.

- 8.1.1 Developmental validation that is conducted shall be appropriately documented.

- 8.1.2 Novel database DNA methodologies shall undergo developmental validation to ensure the accuracy, precision and reproducibility of the procedure.
 - 8.1.2.1 Documentation shall be available which defines and characterizes the locus.
- 8.1.3 Internal validation shall be performed and documented by the laboratory.
 - 8.1.3.1 The procedure shall be tested using known samples. The laboratory shall monitor and document the reproducibility and precision of the procedure using human DNA control(s).
 - 8.1.3.2 Before the introduction of a procedure into database sample analysis, the analyst or examination team shall successfully complete a qualifying test.
 - 8.1.3.3 Material modifications made to analytical procedures shall be documented and subject to validation testing.

9. ANALYTICAL PROCEDURES

- STANDARD 9.1** The laboratory shall have and follow written analytical procedures approved by the laboratory management/technical manager.
- 9.1.1 The laboratory shall have a standard operating protocol for each analytical technique used.
 - 9.1.2 The procedures shall include reagents, sample preparation, extraction, equipment and controls which are standard for DNA analysis and data interpretation.
- STANDARD 9.2** The laboratory shall use reagents that are suitable for the methods employed.
- 9.2.1 The laboratory shall have written procedures for documenting commercial supplies and for the formulation of reagents.
 - 9.2.2 Reagents shall be labeled with the identity of the reagent, the date of preparation and expiration, and the identity of the individual preparing the reagent.
 - 9.2.3 The laboratory shall identify critical reagents, if any, and evaluate them prior to use.
- STANDARD 9.3** The laboratory shall monitor the analytical procedures using appropriate controls and standards.

9.3.1 The following controls shall be used in RFLP analysis:

9.3.1.1 When required by the analytical procedure, standards for estimating the amount of DNA recovered by extraction shall be used.

9.3.1.2 K562 as a human DNA control.

9.3.1.3 Molecular weight size markers to bracket samples on an analytical gel. No more than five lanes shall exist between marker lanes.

9.3.1.4 A procedure shall be available to monitor the completeness of restriction enzyme digestion. Interpretation of the autorad/lumigraph is the ultimate method of assessment but a test gel or other method may be used as necessary.

9.3.2 The following controls shall be used for PCR database analysis:

9.3.2.1 When required by the analytical procedure, standards which estimate the amount of human nuclear DNA recovered by extraction shall be used.

9.3.2.2 Positive and negative amplification controls.

9.3.2.3 Contamination controls.

9.3.2.3.1 Samples extracted prior to the effective date of these standards without reagent blanks are acceptable as long as other samples analyzed in the batch do not demonstrate contamination.

9.3.2.4 Allelic ladders for variable number tandem repeat sequence PCR-based systems.

STANDARD 9.4 The laboratory shall check its DNA procedures annually or whenever substantial changes are made to the protocol(s) against an appropriate and available NIST standard reference material or standard traceable to a NIST standard.

STANDARD 9.5 The laboratory shall have and follow written general guidelines for the interpretation of data.

9.5.1 The laboratory shall verify that all control results are within established tolerance limits.

10. EQUIPMENT CALIBRATION AND MAINTENANCE

STANDARD 10.1 The laboratory shall use equipment suitable for the methods employed.

STANDARD 10.2 The laboratory shall identify critical equipment and shall have a documented program for calibration of instruments and equipment.

10.2.1 Where available and appropriate, standards traceable to national or international standards shall be used for calibration.

10.2.1.1 Where traceability to national standards of measurement is not applicable, the laboratory shall provide satisfactory evidence of correlation of results.

10.2.2 The frequency of the calibration shall be documented for each instrument requiring calibration. Such documentation shall be retained in accordance with federal or state law.

STANDARD 10.3 The laboratory shall have and follow a documented program to ensure that instruments and equipment are properly maintained.

10.3.1 New critical instruments and equipment, or critical instruments and equipment that have undergone repair or maintenance, shall be calibrated before use.

10.3.2 Written records or logs shall be maintained for maintenance service performed on instruments and equipment. Such documentation shall be retained in accordance with federal or state law.

11. REPORTS

STANDARD 11.1 The laboratory shall have and follow written procedures for generating and maintaining documentation for database samples.

11.1.1 The laboratory shall have written procedures for the release of database sample information.

12. REVIEW

STANDARD 12.1 The laboratory shall have and follow written procedures for reviewing database sample information, results, and matches.

12.1.1 The laboratory shall have a mechanism in place to address unresolved discrepant conclusions between analysts and reviewer(s).

STANDARD 12.2 The laboratory shall have and follow a program that documents the annual monitoring of the testimony of laboratory personnel.

13. PROFICIENCY TESTING

STANDARD 13.1 Examiners and other personnel designated by the technical manager or leader who are actively engaged in DNA analysis shall undergo, at regular intervals of not to exceed 180 days, external proficiency testing in accordance with these standards. Such external proficiency testing shall be an open proficiency testing program.

13.1.1 The laboratory shall maintain the following records for proficiency tests:

- (a) The test set identifier.
- (b) Identity of the examiner.
- (c) Date of analysis and completion.
- (d) Copies of all data and notes supporting the conclusions.
- (e) The proficiency test results.
- (f) Any discrepancies noted.
- (g) Corrective actions taken.

Such documentation shall be retained in accordance with applicable federal or state law.

13.1.2 The laboratory shall establish at a minimum the following criteria for evaluation of proficiency tests:

- (a) All reported inclusions are correct or incorrect.
- (b) All reported exclusions are correct or incorrect.
- (c) All reported genotypes and/or phenotypes are correct or incorrect according to consensus genotypes/phenotypes or within established empirically determined ranges.
- (d) All results reported as inconclusive or uninterpretable are consistent with written laboratory guidelines. The basis for inconclusive interpretations in proficiency tests must be documented.
- (e) All discrepancies/errors and subsequent corrective actions must be documented.
- (f) All final reports are graded as satisfactory or unsatisfactory. A satisfactory grade is attained when there are no analytical errors for the DNA profile typing data. Administrative errors shall be documented and corrective actions taken to minimize the error in the future.
- (g) All proficiency test participants shall be informed of the final test results.

14. CORRECTIVE ACTION

STANDARD 14.1 The laboratory shall establish and follow procedures for corrective action whenever proficiency testing discrepancies and/or analytical errors are detected.

14.1.1 The laboratory shall maintain documentation for the corrective action. Such documentation shall be retained in accordance with federal or state law.

15. AUDITS

STANDARD 15.1 The laboratory shall conduct audits annually in accordance with the standards outlined herein.

15.1.1 Audit procedures shall address at a minimum:

- (a) Quality assurance program
- (b) Organization and management
- (c) Personnel
- (d) Facilities
- (e) Sample control
- (f) Validation
- (g) Analytical procedures
- (h) Calibration and maintenance
- (i) Proficiency testing
- (j) Corrective action
- (k) Documentation
- (l) Review
- (m) Safety
- (n) Previous audits

15.1.2 The laboratory shall retain all documentation pertaining to audits in accordance with relevant legal and agency requirements.

STANDARD 15.2 Once every two years, a second agency shall participate in the annual audit.

16. SAFETY

STANDARD 16.1 The laboratory shall have and follow a documented environmental health and safety program.

17. SUBCONTRACTOR OF ANALYTICAL TESTING FOR WHICH VALIDATED PROCEDURES EXIST

STANDARD 17.1 A laboratory operating under the scope of these standards will require certification of compliance with these standards when a subcontractor performs convicted offender DNA analyses for the laboratory.

17.1.1 The laboratory will establish and use appropriate review procedures to verify the integrity of the data received from the subcontractor including but not limited to:

- (a) Random reanalysis of samples.
- (b) Visual inspection and evaluation of results/data.
- (c) Inclusion of QC samples.
- (d) On-site visits.

APPENDIX B

NDIS Standards for Acceptance of DNA Data

National DNA Index System (NDIS)

NDIS STANDARDS FOR ACCEPTANCE OF DNA DATA

January 11, 2000

Send comments to Dr. Barry Brown, FBI Laboratory, GRB 3R, 935 Pennsylvania Avenue, Northwest,
Washington, D. C. 20535-0001, (202) 324-1337. FAX (202) 324-1276

NDIS STANDARDS FOR ACCEPTANCE OF DNA DATA

Purpose

The concept for utilizing DNA profiles for forensic analysis was proposed by the Technical Working Group for DNA Analysis (TWGDAM), as described by Kirby (1990)¹. The Federal Bureau of Investigation Laboratory initiated development of the Combined DNA Index System, (CODIS), which contains separate files or indexes of DNA profile information. The main files in use at the local and state level are forensic and convicted offender. The DNA profiles in CODIS are used for law enforcement purposes only, and access is limited to criminal justice agencies performing DNA analysis (DNA Identification Act of 1994, 42 U.S.C. §14132). CODIS facilitates comparisons of DNA records to generate investigative leads. CODIS also provides functionality for use in assessing the statistical significance of a forensic DNA match.

The National DNA Index System (NDIS) is intended to be a single central repository of DNA records. These DNA records will be locally generated by NDIS participating laboratories in the United States. The centralized repository of DNA records will be used to generate investigative leads. System-wide standards have been established thereby ensuring that only reliable and compatible DNA profiles are contained in the NDIS files.

This document provides the NDIS standards for acceptance of DNA profiles. This version governs DNA data generated by Restriction Fragment Length Polymorphism (RFLP) and for Polymerase Chain Reaction (PCR) based methods.

CHANGES IN THE NDIS STANDARDS FOR ACCEPTANCE OF DNA DATA

From time to time, changes to the NDIS STANDARDS FOR ACCEPTANCE OF DNA DATA (NDIS STANDARDS), may be issued. Changes to the NDIS STANDARDS are to be posted on the FBI Web page (fbi.gov). These changes shall be promptly instituted by NDIS participating laboratories upon notification of the changes. Any laboratory recommending a change to the NDIS STANDARDS shall contact the NDIS Custodian, in writing. This communication should include the name of a contact person and telephone number, as well as a description of the proposed change and the reasons supporting the need for such a change. After review of such request, the NDIS Custodian shall notify the NDIS participating laboratory of his/her determination.

NDIS shall accept a DNA profile after it is determined to be compliant with the NDIS STANDARDS in effect at the time the DNA profile was derived or compliant with the standards that are in place at the time the DNA profile is offered. For example, a "new" molecular weight size marker may be added to the list of acceptable molecular weight size markers. Any DNA profiles offered but previously rejected solely as a result of the use of the previously unrecognized molecular weight size marker shall be accepted after the NDIS STANDARDS are revised to include the "new" molecular weight size marker.

¹The Combined DNA Index System (CODIS): A Theoretical Model, Appendix II, from DNA Fingerprinting, An Introduction, Kirby, L. T., 1990, Stockton Press, New York.

Laboratory Procedures and Practices

All DNA profiles offered to NDIS by NDIS participating laboratories shall be produced in accordance with the Quality Assurance Standards, as required in the DNA Identification Act of 1994. The Quality Assurance Standards for Forensic DNA Testing Laboratories were approved by the Director of the FBI and became effective October 1, 1998. The Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories, also approved by the Director of the FBI, became effective April 1, 1999. These Quality Assurance Standards supersede the quality assurance guide lines adopted by TWGDAM, entitled "Guidelines for a Quality Assurance Program for DNA Analysis"² (TWGDAM Guidelines).

Restriction Fragment Length Polymorphism Section

Protocol for RFLP

1. The laboratory shall demonstrate that it continues to use a protocol that produces NDIS-compatible DNA results by analysis of the K562 human DNA control (American Type Culture Center, [ATCC], registered cell line). The K562 human DNA control shall be run on every RFLP electrophoretic analytical gel that exhibits a DNA profile offered to NDIS. The protocol is acceptable as long as the K562 human DNA control measurements are routinely within NDIS tolerances.
2. The restriction enzyme shall be *Hae III*.
3. Only DNA profiles derived by applying DNA probes to loci listed on the "List of NDIS Accepted Loci" shall be accepted by NDIS.
4. Derivation of base pair values shall be obtained using computer software approved by the Federal Bureau of Investigation.

Changes to the RFLP Protocols

1. A laboratory that changes its protocol shall not use the modified protocol in the analysis of specimens that are intended for submission to NDIS until the laboratory demonstrates that the modified protocol produces NDIS-compatible results.
2. The use of a protocol that does not achieve K562 human DNA control measurements within NDIS established tolerances shall be discontinued.
3. At the request of NDIS, a laboratory shall demonstrate the reliability of data generated by the proposed protocol.

²Guidelines for a Quality Assurance Program for DNA RFLP Analysis, Crime Laboratory Digest, April-July 1989, Vol. 16 (2), pp. 40-59; Guidelines for a Quality Assurance Program for DNA Analysis, Crime Laboratory Digest, April 1991, Vol 18 (2), pp. 44-75; and Guidelines for a Quality Assurance Program for DNA Analysis, Crime Laboratory Digest, April 1995, Vol. 22 (2), pp. 21-43.

Molecular Weight Size Marker (MWSM)

1. An MWSM from the list of acceptable MWSMs shall be run on each gel that exhibits a DNA profile that is submitted to NDIS.
2. All MWSMs, specimens and K562 human DNA control(s) shall be of sufficient clarity and intensity within the relevant measurement area of the gel so that meaningful measurements can be made.
3. No more than five (5) lanes shall be between any two MWSMs.
4. The MWSM lanes shall contain only MWSM.
5. The addition of a "new MWSM" to the list of acceptable MWSMs shall be made by NDIS only after data presented to NDIS demonstrates that the "new MWSM" shall generate NDIS-compatible results.

K562 Human DNA Control

1. The K562 human DNA control shall be on each analytical electrophoretic gel that exhibits a DNA profile submitted to NDIS.
2. Each NDIS subscribing laboratory shall request approval, in writing, from the NDIS Custodian, for established K562 human DNA control tolerances to be used by the NDIS subscribing laboratory. Once approved by the NDIS Custodian, such K562 human DNA control tolerances shall be accepted by NDIS.
3. K562 human DNA control measurements submitted to NDIS shall be within each subscribing laboratory's approved K562 human DNA control tolerances. K562 human DNA control measurements outside acceptable tolerances shall result in the rejection of all associated DNA profiles submitted from that analytical electrophoretic gel, at that locus.
4. Any NDIS subscribing laboratories seeking to change established tolerances shall request of the NDIS Custodian, in writing, approval of the new tolerances for associated DNA profiles to be accepted by NDIS, and the reason(s) for seeking to change established tolerances.
5. Any human DNA controls other than K562 included in a DNA analysis shall not be evaluated by NDIS (except as may be described elsewhere in this document). All sized K562 human DNA control measurements shall be evaluated before DNA results from any specimens are accepted by NDIS (for either use or inclusion in NDIS files).

6. As per Table 1, the NDIS Custodian shall calculate and record K562 human DNA controls for quality assurance as defined according to the following function:

$$\frac{\left(\frac{X-\bar{X}}{SD_x}\right)^2 + \left(\frac{Y-\bar{Y}}{SD_y}\right)^2 - 2R\left(\frac{X-\bar{X}}{SD_x}\right)\left(\frac{Y-\bar{Y}}{SD_y}\right)}{(1-R^2)} \leq K_{1-\alpha}$$

where: X, Y

Measured

band size of alleles 1 and 2.

\bar{X} , \bar{Y}

Expected interlaboratory band size of alleles 1 and 2

SD_x , SD_y

Expected interlaboratory reproducibility SD of alleles 1 and 2

R

Expected intralaboratory correlation between allele 1 and 2 measurements

$K_{1-\alpha}$

Constant for coverage of 100(1- α)% of a bivariate normal distribution

Locus	\bar{X}	SD_x^c	\bar{Y}	SD_y^c	R ^d	$K_{0.99}^e$
D1S7	4571 ^a	34	4231 ^a	31	0.62	9.21
D2S44	2907 ^a	21	1791 ^a	14	0.62	9.21
D4S139	6474 ^a	58	3438 ^a	24	0.62	9.21
D5S110	3714 ^b	26	2942 ^b	21	0.62	9.21
D10S28	1757 ^a	14	1182 ^a	12	0.62	9.21
D17S79	1982 ^a	15	1520 ^a	13	0.62	9.21

^aCertified allele band size as stated in the National Institute of Standards and Technology Certificate of Analysis for Standard Reference Material 2390 "DNA Profiling Standard", available from Standard Reference Materials Program, NIST, Gaithersburg, MD 20899 (1992). NIST will update this periodically.

^bMedian of data from 10 laboratories, compiled by Brian Hoey of the Missouri State Highway Patrol.

^cPredicted standard deviation for the band sizes, using equation:

$$SD = 7.5(1+bp/19500)^{7.1}$$

of: A.M. Stolorow; D.L. Duewer; Dennis J. Reeder; E. Buel; G. Herrin, Jr.; Interlaboratory Comparison of Autoradiographic DNA Profiling Measurements. 3. Repeatability and Reproducibility of Restriction Fragment Length Polymorphism Band Sizing, Particularly Bands of Molecular Size >10k Base Pairs. Analytical Chemistry 1996: 68(11), 1941-1947.

^dEmpirically determined for each locus using data supplied by numerous city, county, state, or Federal forensic laboratories. Correlations were determined for each laboratory supplying data (between 16 and 26 unique data sets, depending on locus). The median correlation at each locus was found to be 0.62±0.04.

^e $K_{0.99} = \chi^{-1}(.01,2) = 9.21$. The inverse one-tailed (1-0.99) probability of the chi-squared distribution with two degrees of freedom is the limiting (infinite data) critical K for 99% coverage of a bivariate normal distribution.

Monomorphic Human DNA Controls

Monomorphic probes shall not be used concurrently with a probe for any locus in the table of RFLP Loci Accepted at NDIS.

Interpretation of DNA Profiles

1. DNA profiles submitted to NDIS shall be interpretable (interpretable - any DNA data that could be used to make an exclusion).
2. A laboratory submitting a DNA profile to NDIS that is derived from forensic evidence, shall only offer those bands that are attributed to the putative perpetrator(s). Alleles derived from forensic profiles that are unambiguously attributed to a victim or individuals other than the perpetrator(s), such as, but not limited to a husband or boyfriend, shall not be offered to NDIS.
3. The DNA results from any locus in which an ambiguity exists in the assignment of one or more alleles to the putative perpetrator(s) may be offered to NDIS. The mere observation of alleles that may be attributed to individuals other than the putative perpetrator, does not in itself, preclude offering DNA profiles to NDIS at that locus.
4. After image analysis, no "correction factors" that alter or adjust the readings derived directly from an image analysis workstation shall be applied to the DNA profile offered to NDIS.

RFLP Loci Accepted and Minimum RFLP Loci for a DNA Profile to be Accepted at NDIS

The inclusion of DNA profiles in NDIS derived from convicted offender, forensic samples, unidentified human remains, and population samples requires conclusive fragment size determinations from certain specific loci. There is a minimum number of loci from which conclusive results are required for profiles submitted to the forensic, unidentified human remains and convicted offender indexes. Additional loci on these samples shall then be accepted. DNA profiles which fail to include these loci (number and name) shall not be accepted by NDIS.

Table 2 constitutes all RFLP loci from which results shall be accepted by NDIS. The absence of any particular locus from this table does not suggest the unsuitability of the locus for forensic application. The addition of new RFLP loci shall be accepted by NDIS, upon approval by the NDIS Custodian.

Table 2 RFLP Loci Accepted at NDIS					
Locus	Probe	Convicted Offender ¹	Forensic ²	Unidentified Human Remains ²	Population
D1S7	MS1	Accepted	Accepted	Accepted	Accepted
D2S44	YNH24	Required	Required	Required	Accepted
D4S139	PH30	Required	Required	Required	Accepted
D5S110	LH1	Required	Required	Required	Accepted
D10S28	TBQ7	Required	Required	Required	Accepted
D14S13	CMM10 1	Accepted	Accepted	Accepted	Accepted
D16S85	3'HVR	Accepted	Accepted	Accepted	Accepted
D17S26	EFD52	Accepted	Accepted	Accepted	Accepted
D17S79	V1	Accepted	Accepted	Accepted	Accepted

Any of these RFLP loci so indicated shall be accepted at NDIS.

¹The number required to be a complete profile for Convicted Offender is the required 4.

²An analysis of all 4 required loci must be attempted for both Forensic and Unidentified Human Remains. The minimum number of RFLP loci required for search purposes is 3 for Forensic and Unidentified Human Remains.

Application of probes

Alleles detected following the hybridization of a membrane shall be unambiguously ascribed to a single locus. Therefore, only one locus may be probed during the hybridization of a membrane. The mixing of probes to more than one locus for concurrent application to a single membrane is prohibited.

Molecular Weight Size Markers (MWSMs) Accepted by NDIS for RFLP Loci

The following MWSMs shall be accepted at NDIS:

1. Life Technologies BRL, DNA Analysis Marker System
2. Lifecodes, 23 kb sizing standard
3. Promega Genetic Analysis Marker Ladder

Polymerase Chain Reaction (PCR) Section

Protocol for PCR

PCR DNA Controls, allelic ladders and primer sets that were validated together shall be used together.

1. The laboratory shall demonstrate that it continues to use a protocol that produces NDIS compatible DNA results by its application of a positive PCR DNA Control that has been appropriately validated.
2. All DNA profiles offered to NDIS must be associated with an accurate result for PCR DNA Controls.
3. Only DNA profiles derived from analysis of NDIS Accepted PCR Kits (Table 3) shall be accepted at NDIS.

Changes to PCR Based Protocols (Per the FBI Quality Assurance Standards, page 2)

1. Any significant changes made to a protocol must be demonstrated to be non-detrimental to the PCR results, as indicated by appropriate PCR DNA Control results.
2. The use of a protocol that does not achieve the correct results for the PCR DNA Controls shall be discontinued.
3. At the request of NDIS, a laboratory shall demonstrate the reliability of data generated by the proposed protocol.

Allelic Ladders

1. The allelic ladders used must be from the list of NDIS Accepted PCR Kits (Table 3).
2. The allelic ladders used for each locus must give NDIS compatible results, as demonstrated by the PCR DNA Controls.
3. At each locus, the allelic ladder should have the commonly occurring alleles of the repeat element.
4. An NDIS Accepted Allelic ladder must be associated with each sample set.

Interpretation of DNA Profiles

1. DNA profiles submitted to NDIS shall be interpretable (interpretable - any DNA data that could be used to make an exclusion).
2. A laboratory submitting a DNA profile to NDIS that is derived from forensic evidence, shall only offer those alleles that are attributed to the putative perpetrator(s). Alleles derived from forensic profiles that are unambiguously attributed to a victim or individuals other than the perpetrator(s), such as, but not limited to a husband or boyfriend, shall not be offered to NDIS.
3. The DNA results from any locus in which an ambiguity exists in the assignment of one or more alleles to the putative perpetrator(s) may be offered to NDIS. The mere observation of alleles that may be attributed to individuals other than the putative perpetrator, does not in itself, preclude offering DNA profiles to NDIS at that locus.

NDIS Accepted PCR Kits

1. The following table (Table 3) provides the PCR Kits accepted by NDIS.
2. The absence of a PCR Kit from Table 3 does not suggest the unsuitability of that particular PCR Kit for forensic application.
3. The addition of a PCR Kit to Table 3 (NDIS Accepted PCR Kits) or modification of an existing PCR Kit, shall be made only after data are presented to NDIS, that demonstrates that the new PCR Kit generates NDIS compatible results, or the modification is justified.

Table 3 - NDIS Accepted PCR Kits	
Manufacturer	Kit Name
Promega	GenePrint PowerPlex 1.1(Catalog numbers DC6091/6090)
Promega	GenePrint PowerPlex 1.2 (Catalog numbers DC 6101/6100)
Promega	GenePrint PowerPlex 2.1 (Catalog numbers DC 6471/6470)
PE Applied Systems	AmpF/STR Profiler Plus (PIN 4303326)
PE Applied Systems	AmpF/STR Cofiler (PIN 4305246)
PE Applied Systems	AmpF/STR Profiler Plus and AmpF/STR Cofiler (PIN 4305979)
Promega Monoplex*	Monoplex D5S818 (Catalog number DC6161)
Promega Monoplex*	Monoplex D7S820 (Catalog number DC6141)
Promega Monoplex*	Monoplex D13S317 (Catalog number DC6151)
Promega Monoplex*	Monoplex D16S539 (Catalog number DC6131)
Promega Monoplex*	Monoplex TH01 (Catalog number DC5081)
Promega Monoplex*	Monoplex TPOX (Catalog number DC5111)
Promega Monoplex*	Monoplex CSF1PO (Catalog number DC5091)
Promega Monoplex*	Monoplex vWA (Catalog number DC5141)

* Monoplexes are all fluorescence-labeled and have same chemistry as when in multiplex kits

PCR Profiles Offered to NDIS

1. The DNA result from each locus will be in the form p,q for heterozygotes (in ascending order) and p,p for homozygotes.
2. Alleles below or above the allelic ladder are entered as < (lowest allele) or > (highest allele), respectively.

PCR Loci Accepted and Minimum PCR Loci for a DNA Profile to be Accepted at NDIS

The inclusion of DNA PCR profiles in NDIS derived from convicted offender, forensic samples, unidentified human remains and population samples require conclusive results from a minimum number of specific loci/systems. DNA profiles which fail to include these loci, at a minimum, shall not be accepted by NDIS. There is a minimum number of loci from which conclusive results are required for profiles submitted to the forensic, unidentified human remains and convicted offender indexes. Additional loci on these samples shall then be accepted. DNA profiles which fail to include these loci (number and name) shall not be accepted by NDIS.

Table 4 constitutes all PCR loci from which results shall be accepted by NDIS. The absence of any particular locus from this table does not suggest the unsuitability of the locus for forensic application. The addition of new PCR loci shall be accepted by NDIS, upon approval by the NDIS Custodian.

Table 4 PCR Loci Accepted at NDIS					
Locus	Chromosome Location	Convicted Offender ¹	Forensic ²	Unidentified Human Remains ²	Population
CSF1PO	5q33.3-34	Required	Required	Required	Accepted
FGA	4q28	Required	Required	Required	Accepted
THO1	11p15.5	Required	Required	Required	Accepted
TPOX	2p23-2pter	Required	Required	Required	Accepted
VWA	12p12-pter	Required	Required	Required	Accepted
D3S1358	3p	Required	Required	Required	Accepted
D5S818	5q21-31	Required	Required	Required	Accepted
D7S820	7q	Required	Required	Required	Accepted
D8S1179	8	Required	Required	Required	Accepted
D13S317	13q22-31	Required	Required	Required	Accepted
D16S539	16q24-qter	Required	Required	Required	Accepted
D18S51	18q1.3	Required	Required	Required	Accepted
D21S11	21	Required	Required	Required	Accepted
Amlogenin	X:p22.1-22.3 Y:p11.2	Accepted	Accepted	Accepted	Accepted

Any of these PCR loci so indicated shall be accepted at NDIS.

¹The number required to be a complete profile for Convicted Offender is the required 13.

²An analysis of all 13 required loci must be attempted for both Forensic and Unidentified Human Remains. The minimum number of PCR loci required for search purposes is 10 for Forensic and Unidentified Human Remains.

Appendix

Waivers - General Information

NDIS shall conditionally accept DNA results obtained prior to the “Guidelines for a Quality Assurance Program for DNA Analysis” (TWGDAM Guidelines first published in 1989, footnote page 2), the effective date of the NDIS STANDARDS. The Quality Assurance Standards for Forensic DNA Testing Laboratories (effective October 1, 1998), and The Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories (effective April 1, 1999), supersede the quality assurance guide lines adopted by TWGDAM. Waivers shall not be granted to DNA records derived after the issuance of NDIS STANDARDS, except as noted herein.

A waiver granted shall remain in effect until NDIS Custodian issues superseding NDIS STANDARDS, at which time previously granted waivers may be renewed upon approval by the NDIS Custodian.

Provisions Subject to NDIS RFLP Waivers

Applications for waivers to the sections from the NDIS STANDARDS relative to RFLP data listed previously may be submitted to the NDIS Custodian. The application shall specify the DNA results that are to be covered by the waiver. No other waivers shall be granted. Granting of a waiver is at the sole discretion of the NDIS Custodian.

Waiver - DNA Records Derived Prior to April, 1989

Waivers may be granted for those DNA records that were derived prior to the issuance of the TWGDAM Guidelines in April, 1989, at the discretion of the NDIS Custodian. The laboratory must demonstrate that the qualified DNA records were derived in a manner largely consistent with the TWGDAM Guidelines. The certification shall be signed and dated (date signed) by a DNA Supervisor, an individual who is administratively responsible for the DNA analysis work of laboratory personnel.

Waiver - Alternative Image Analysis Workstation (IAW) System

Data demonstrating that an IAW system other than that developed by the FBI (alternative IAW) produces reliable and NDIS compatible DNA records is required. Also, a test plan and data demonstrating the conversion of the electronic format of the DNA records to a NDIS compatible format are required. The electronic conversion of DNA records to a NDIS data compatible format must be demonstrated to retain the integrity of the DNA record through the conversion process.

DNA profiles derived using an alternative IAW software/work station shall only be accepted by NDIS after the alternative IAW has been demonstrated to meet all NDIS performance standards, including reliability, compatibility, and data integrity.

Waiver - RFLP Human DNA control

All analytical electrophoretic gels exhibiting DNA profiles for use by or inclusion in NDIS shall also exhibit a human DNA control. Human DNA controls other than K562 (alternative human DNA control) shall only be accepted when sufficient data are presented to determine acceptable values for the alternate human DNA control. The waiver shall only apply to analyses conducted prior to 90 days after the effective date of the NDIS STANDARDS.

Waiver for Minimum Loci Constituting a DNA Profile Accepted by NDIS

NDIS shall accept any locus listed as “NDIS Accepted Loci” for “convicted offender,” “forensic,” “unidentified human remains,” and “population” classes of specimens, where results are available for the specified minimum number of loci. Thus, NDIS shall accept any combination of loci for the “population” class of specimen and any combination of accepted loci beyond the required loci for the “convicted offender,” “forensic” or “unidentified human remains” classes of specimens; where these locus combinations are defined from among the “Loci Accepted at NDIS”: Pages 6 (Table 2) and 9 (Table 4).

Application for a Waiver

States intending to make application for a waiver of NDIS STANDARDS should write the NDIS Custodian for details.

Application for Acceptance of New Loci by NDIS

Applications for new loci to the NDIS STANDARDS may be submitted to the NDIS Custodian by a criminal justice agency. The addition of new loci to NDIS STANDARDS shall be made by the NDIS Custodian only after data presented to NDIS demonstrates that the new loci have been appropriately validated including forensic and population studies, and provide NDIS comparable results. The NDIS Custodian may request further validation by additional criminal justice agencies.

Correspondence

Any correspondence regarding NDIS STANDARDS FOR ACCEPTANCE OF DNA DATA should be sent to:

Attention: NDIS Custodian
Forensic Science Systems Unit
FBI Laboratory
935 Pennsylvania Avenue, Northwest, Room GRB-3R
Washington, DC 20535-0001

Revision History		
Date	Author	Comments
11 November 1996	Barry Brown	Revised per TWGDAM*
12 June 1998	Barry Brown	Revised per TWGDAM*
4 January 1999	Barry Brown	Revised per SWGDAM*
12 July 1999	Barry Brown	Reviewed at SWGDAM*
11 January 2000	Barry Brown	Revised per SWGDAM*

*The TWGDAM CODIS Subcommittee, later SWGDAM CODIS Subcommittee, reviews and makes revision suggestions on a regular basis.

APPENDIX C

*Selected Provisions from
the DNA Identification Act of 1994*

Relevant Provisions of the DNA Identification Act of 1994

§ 14132. Index to facilitate law enforcement exchange of DNA identification information

(a) Establishment of index

The Director of the Federal Bureau of Investigation may establish an index of--

- (1) DNA identification records of persons convicted of crimes;
- (2) analyses of DNA samples recovered from crime scenes; and
- (3) analyses of DNA samples recovered from unidentified human remains.

(b) Information

The index described in subsection (a) of this section shall include only information on DNA identification records and DNA analyses that are--

- (1) based on analyses performed by or on behalf of a criminal justice agency in accordance with publicly available standards that satisfy or exceed the guidelines for a quality assurance program for DNA analysis, issued by the Director of the Federal Bureau of Investigation under section 14131 of this title;
- (2) prepared by laboratories, and DNA analysts, that undergo, at regular intervals of not to exceed 180 days, external proficiency testing by a DNA proficiency testing program meeting the standards issued under section 14131 of this title; and
- (3) maintained by Federal, State, and local criminal justice agencies pursuant to rules that allow disclosure of stored DNA samples and DNA analyses only--
 - (A) to criminal justice agencies for law enforcement identification purposes;
 - (B) in judicial proceedings, if otherwise admissible pursuant to applicable statutes or rules;
 - (C) for criminal defense purposes, to a defendant, who shall have access to samples and analyses performed in connection with

the case in which such defendant is charged; or

(D) if personally identifiable information is removed, for a population statistics database, for identification research and protocol development purposes, or for quality control purposes.

(c) Failure to comply

Access to the index established by this section is subject to cancellation if the quality control and privacy requirements described in subsection (b) of this section are not met.

APPENDIX D

Table of Convicted Offender Samples

Table of Convicted Offender Samples

TABLE 1

1	2	3	4	5	6	7	8	9	10	11	12
Samples Collected (period ending 12/99)	Samples Analyzed w/ RFLP (period ending 12/99)	Samples Analyzed w/STR (period ending 12/99)	Samples Analyzed w/ 13 loci (period ending 12/99)	Samples Collected (period ending 3/00)	Samples Analyzed w/ RFLP (period ending 3/00)	Samples Analyzed w/STR (period ending 3/00)	Samples Analyzed w/13 loci (period ending 3/00)	Samples Collected (period ending 9/00)	Samples Analyzed w/ RFLP (period ending 9/00)	Samples Analyzed w/STR (period ending 9/00)	Samples Analyzed w/ 13 loci (period ending 9/00)

1. Please specify what offenses are covered by your State DNA database law. _____

2. Please specify the date that your current State DNA database law took effect. _____

3. Please specify the average annual number of convictions for such qualifying offenses since your State DNA database law took effect. _____

4. For States that will be contracting out the retesting of their convicted offender samples for quality assurance purposes or blind samples, please indicate the total number of convicted offender samples that will be contracted out under this program [total not to exceed 10% of Column 5 - (Columns 7+8)]. _____

APPENDIX E

Program and State Match Assurances

Program Assurances

In accordance with the Program Requirements of this Solicitation, the applicant certifies that:

1. they shall outsource the STR analysis of their collected convicted offender samples in accordance with their State procurement and/or sole source selection policies/procedures. If the responding State already has a relationship/contract with a vendor laboratory, that vendor laboratory may be used if they are able to meet all program requirements listed in this solicitation.
2. they shall require that any vendor laboratory selected for the STR analyses of their convicted offender samples or the quality assurance of those convicted offender samples is accredited by the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or have received a certificate of compliance with the DNA Advisory Board standards from the National Forensic Science Technology Center (NFSTC).
3. they agree to expedite their State procurement process in order to ensure that a laboratory is selected as expeditiously as possible in order that the first batch of collected convicted offender samples are provided to that laboratory within one hundred and twenty (120) days of receipt of notification of their award by NIJ.
4. they shall require that any vendor laboratory selected for STR analysis of their convicted offender samples to analyze and report back the results of the analysis of each batch of convicted offender samples to them within thirty (30) days of receipt of that batch.
5. they shall conduct quality assurance of the vendor laboratory's analyses by either the submission of blind samples for retesting by the vendor laboratory, by contracting out the retesting of the convicted offender samples to another laboratory or retesting samples in-house. The number of these quality assurance samples should not exceed 10% of the total convicted offender samples submitted by that State. They shall provide the vendor laboratory with quality assurance samples in the first batch of convicted offender samples and upon receipt of the results of the quality assurance analysis, shall notify NIJ within thirty (30) days of the quality assurance status of the vendor laboratory. They shall immediately report to NIJ any discrepancies in the quality assurance of the convicted offender analyses performed by the vendor laboratory.
6. they shall be in compliance with the current standards for the quality assurance program for DNA analysis, issued by the Director of the Federal Bureau of Investigation pursuant to the DNA Identification Act of 1994, entitled *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*, (Appendix A).
7. they shall require that the laboratory selected analyze the State's convicted offender samples for Amelogenin and all of the 13 CODIS core loci - **FGA, vWA, D3S1358, CSF1PO, TPOX, TH01, D18S51, D21S11, D8S1179, D7S820, D13S317, D5S818, and D16S539** - in accordance with the Federal Bureau of Investigation's *NDIS Standards for Acceptance of DNA Data*; (Appendix B). They agree that the data provided by the vendor laboratory, once the appropriate

quality assurance of the samples has been completed, will be expeditiously uploaded into CODIS, their State DNA database and NDIS.

- (a) they shall require that the laboratory provide the genotypes in the common message format for insertion into the FBI's Combined DNA Index System (CODIS), a copy of which is attached as Appendix F.
8. they shall report to NIJ in the format specified by the "CODIS Hit Counting Guidelines," (Appendix G), any hits relating to the convicted offender samples analyzed as a result of funding provided under this program. Such reporting shall occur within thirty (30) days of the occurrence of such hit.

Failure to comply with the above certifications shall constitute cause for the suspension or termination of funding, at the discretion of NIJ.

Certifying Official

Title

Signature

Date

State Match Assurances

In accordance with the State Match Requirements of this Solicitation, the applicant certifies that:

1. they shall analyze at least 2.5 % of the total number of convicted offender samples contracted out under this program (From Table 1, Column 5 - (Columns 7 + 8) in unknown suspect cases (cases in which biological evidence is available but for which no suspect has been identified) during the 12 month term of the Award. The analysis of these unknown suspect cases shall be with STR technology, specifically with as many of the 13 CODIS core loci that are validated in the State's laboratory system - **FGA, vWA, D3S1358, CSF1PO, TPOX, THO1, D18S51, D21S11, D8S1179, D7S820, D13S317, D5S818, and D16S539**. The State agrees that the unknown suspect casework will be processed within its laboratory system and the resulting data will be expeditiously uploaded into CODIS, their State DNA database and NDIS.

The number of unknown suspect cases analyzed may be calculated as of the beginning of Federal Fiscal Year 2000 (October 1, 1999). States unable to demonstrate that this 2.5% number in unknown suspect case load has been analyzed and entered into their State DNA database at the conclusion of the program will not be eligible for similar funding in future years. Please note that the unknown suspect cases that are analyzed but do not produce results suitable to be entered into CODIS will still apply to a State's 2.5% State match requirement.

2. they shall report to the National Institute of Justice (NIJ) in the format specified by the "CODIS Hit Counting Guidelines," any hits relating to the unknown suspect cases analyzed as part of the State Match required under this program. Such reporting shall occur within thirty (30) days of the occurrence of such hit.

Failure to comply with the above certifications shall constitute cause for the suspension or termination of funding, at the discretion of NIJ.

Certifying Official

Title

Signature

Date

APPENDIX F

Common Message Format for CODIS



U.S. Department of Justice
Federal Bureau of Investigation

CODIS

Interface Specification (CMF 2.5)

For

Contract Laboratories

February 1, 2000

**U.S. Department of Justice
Federal Bureau of Investigation
Washington, DC 20535**

Prepared By:

**Systems Applications Business Unit
Science Applications International Corporation
8233 Old Courthouse Road, Suite 200
Vienna, VA 22182**



TABLE OF CONTENTS

1	OVERVIEW	1
2	COMMON MESSAGE FORMAT	1
2.1	CMF HEADER.....	1
2.2	CMF PACKET	1
2.3	CMF DATA TYPES AND FORMATS.....	2
2.3.1	<i>Data Types</i>	2
2.3.2	<i>Date Formats</i>	2
3	IMPLEMENTATION	2
3.1	FILE FORMAT.....	2
3.1.1	<i>Import Header Values</i>	4
3.1.2	<i>Import Packet Values</i>	4
4	VALIDATION	7
	APPENDIX A. EXAMPLE CMF FILE FOR PCR SPECIMENS	8
	APPENDIX B. IMPORT XML DTD FILE	12
	APPENDIX C. CASCADE STYLE SHEET	14
	APPENDIX D. VALID PCR LOCI WITH ALLELE VALUES	17
	APPENDIX G. IMPORT CMF 1.0 MESSAGE FORMAT	33

1 Overview

This specification describes the interface between the CODIS and external systems. This specification consists of the following sections:

- **Common Message Format** – summarizes the components of the CODIS Interface Specification Common Message Format (CMF).
- **Implementation** – describes the CODIS Interface Specification implementation for PCR-based DNA typing.
- **Appendix A-Example CMF file for PCR Specimens.**
- **Appendix B-Import XML DTD file** – defines the valid XML structure for a CMF file.
- **Appendix C-Cascade Style Sheet** – defines the manner in which a browser will display a CMF file.
- **Appendix D – Kit Information** – defines the currently available kits, the loci for those kits, and the accepted allele values for each locus.

Questions regarding this document and requests for an electronic copy of this document and all style sheets, etc. should be referred to Mr. Jin Kang, SAIC, 703.394.4252.

Important Note: The CMF 2.5 format is a subset of the CMF 2.0 format. The CMF 2.5 format is specifically designed for the contract labs participating in the NIJ program. CMF 2.0 files do not need to be modified.

2 Common Message Format

The CODIS Interface Specification uses a Common Message Format (CMF) to enable the exchange of data between CODIS and external systems. The CMF defines the packaging of information for import into CODIS and is based on the Extensible Markup Language (XML) industry standard.

There are two types of CMF Packets: batch and user. A CMF message has the following general format:

CMF Header
CMF Packet
CMF Packet
•
•
•

2.1 CMF Header

The CMF Header contains the following information:

- CMF Header Version.
- CMF Message Type.
- Source Laboratory Name.
- Destination Laboratory ORI.
- Creation Date/Time.

2.2 CMF Packet

CMF packets have the following characteristics:

- Packet Type.

- Packet Version.
- Packet Data.

The Packet Version indicates the version of the Packet Data portion of the CMF file.

2.3 CMF Data Types and Formats

CMF files are described using consistent data types and formats.

2.3.1 Data Types

Data types referred to in this document are defined by the SQL Server 6.5 data type definitions:

- int – Is a datatype that holds whole numbers from -2 (31) (-2,147,483,648) through 2 (31) - 1 (2,147,483,647). Storage size is 4 bytes.
- smallint – Is a datatype that holds whole numbers from -2 (15) (-32,768) through 2 (15) - 1 (32,767). Storage size is 2 bytes.
- float(n) – Is a datatype that holds real numbers where n is the units of precision. The range of values is approximately from 3.4E - 38 through 3.4E + 38. In all instances where float is used within this document, n equals 1. Storage size is 4 bytes.
- bit – Is a datatype that holds either 1 or 0. Integer values other than 1 or 0 are accepted but are always interpreted as 1. Storage size is 1 byte.
- smalldatetime – Is a date and time datatype. This parameter's storage size is 4 bytes, consisting of one small integer for the number of days after January 1, 1900, and one small integer for the number of minutes past midnight. Data values for smalldatetime range from January 1, 1900, through June 6, 2079, with accuracy to the minute.

2.3.2 Date Formats

Date formats referred to in this document follow the Visual Basic 5.0 format notation conventions. All times are based on a 24-hour clock.

- dd Display the day as a number with a leading zero (01 – 31).
- mmm Display the month as an abbreviation (Jan – Dec).
- yyyy Display the year as a 4-digit number (100 – 9999).
- hh Display the hour as a number with leading zeros (00 – 23).
- nn Display the minute as a number with leading zeros (00 – 59).

3 Implementation

3.1 File Format

The CMF file, coded in XML, contains information about the specimens to be imported into CODIS. This file consists of a CMF header and one or more packets structured in the format listed below. For readability in this document, the format shown below does not include the actual XML syntax. Tabs, carriage returns, and blanks may be inserted at the beginning or end of any line to improve readability. Comments may be included in the file following the XML comment syntax. The CODIS Import program will assign a default value to the population groupfield if it is not provided within the CMF file. See *Appendix A* for an example Import CMF file for PCR Specimens. *Appendix B* includes the Document Type Definition (DTD) document used in interpreting and validating the XML file. *Appendix C* includes the Cascade Style Sheet (CSS) document used in displaying the XML .

CMF Header:

CMF Header Version (2.5 float(1))
 CMF Message Type (Import, 32 characters)
 Source Laboratory Name (40 characters)

CODIS Laboratory (destination) ORI (10 characters)
Creation Date/Time of this file (smalldatetime, dd-mmm-yyyy hh:nn)

CMF Packet Type = Batch

CMF Packet Version (2.5 float(1))
Run/Batch/Gel Number (40 characters)
Ladder/Kit Used (75 characters)
FOR each lane/item
 Lane/Item Number (32 characters)
 Lane/Item Type (SPECIMEN/CONTROL/STANDARD/EMPTY, 8 characters)
 IF Lane/Item Type = CONTROL:
 CODIS Control (10 characters)
 ELSEIF Lane/Item Type = SPECIMEN:
 CODIS Specimen Number (32 characters)
 CODIS Specimen Category (40 characters)
 CODIS Population Group (15 characters, may be blank)
 ENDIF
ENDFOR
IF CODIS Technology = PCR:
 FOR each reading
 Reading Type (15 characters)
 Reading By (20 characters, User ID of CODIS user)
 Reading Date/Time (smalldatetime, dd-mmm-yyyy hh:nn)
 FOR each SPECIMEN/CONTROL lane/item
 Lane/Item number (32 characters)
 FOR each Locus
 CODIS Locus Name (10 characters)
 FOR each allele
 PCR Value (10 characters)
 ENDIFOR
 ENDIFOR
 ENDIFOR
 ENDIFOR
ENDIF

CMF Packet Type = CODIS User

User ID of CODIS user (20 characters)
CMF Packet Version (2.5, float(1))
User Lab ORI (10 characters)
First Name (20 characters)
Last Name (20 characters)
Start Date (smalldatetime, dd-mmm-yyyy)
Stop Date (smalldatetime, dd-mmm-yyyy)
User Role (32 characters)

3.1.1 Import Header Values

The following table lists details for fields in the Import CMF header:

<u>Field</u>	<u>Values/Formats</u>	<u>Req.</u>	<u>XML Tag</u>	<u>Comments</u>
CMF Header Version	2.5 Float(1) 1 to Max	Yes	HEADERVERSION	Used to specify the version of the CMF header used. As requirements change, newer versions/formats of the CMF Header will be used.
CMF Message Type	Import Up to 32 characters.	Yes	MESSAGETYPE	The only valid message type is Import.
Source Laboratory Name	Up to 40 characters.	Yes	SOURCELAB	The name of the source laboratory producing the CMF file. This will contain the name of the contract laboratory.
Destination ORI	Up to 10 characters.	Yes	DESTINATIONLABORI	CODIS ORI for the destination CODIS laboratory that will import the CMF file. This is the State lab's ORI and will be provided to the contract lab by the State.
Creation Date/Time	Smalldatetime, dd- mmm-yyyy hh:nn	Yes	CREATIONDATETIME	The date/time for when the CMF file was created.

3.1.2 Import Packet Values

Import supports two packet types: Batch and User. The following tables list details for fields in the Import CMF packets:

3.1.2.1 Batch Packet Values

Batch packets describe the Run/Batch/Gel being imported into CODIS. The table below describes the fields in a Batch packet.

<u>Field</u>	<u>Values/Formats</u>	<u>Req.</u>	<u>XML Tag</u>	<u>Comments</u>
CMF Packet Version	2.5 Float(1) 1 to Max	Yes	BATCH_PACKETVERSION	Used to specify the version of the CMF packet used. As requirements change, newer versions/formats of the CMF packet will be used.
CODIS Run/Batch/Gel Number	Up to 40 characters, including embedded blanks.	Yes	BATCHNUMBER	Run/batch/gel number. Assigned by contract lab.

Ladder/Kit Used	Up to 75 characters.	Yes	LADDER	Valid CODIS Ladder/Kit. See Appendix D for the complete list of kits.
-----------------	----------------------	-----	--------	--

For each lane/item, as specified by the Number of lanes/items field, the following information is provided.

<u>Field</u>	<u>Values/Formats</u>	<u>Req.</u>	<u>XML Tag</u>	<u>Comments</u>
Lane/Item Number	Up to 32 characters.	Yes	LANENUMBER	An identifier of lane position within the Run/Batch/Gel Assigned by the contract lab.
Lane/Item Type	Control Specimen Standard Empty Up to 10 characters.	Yes	LANETYPE	Valid CODIS lane/item type. A Control lane indicates a lane that contains a control. A Specimen lane indicates a lane that contains a specimen. A Standard lane indicates a lane that contains a ladder. This lane type may not be needed for non-gel based systems. An Empty lane indicates a lane that contains no data. This lane type may not be needed for non-gel based systems.

If Lane/Item Type = Empty or Standard, then no additional information is required.

If Lane/Item Type = Control, then the following information is provided.

<u>Field</u>	<u>Values/Formats</u>	<u>Req.</u>	<u>XML Tag</u>	<u>Comments</u>
CODIS Control	Up to 10 characters.	Yes	CONTROLNAME	Valid CODIS control.

If Lane/Item Type = Specimen, then the following information is provided.

<u>Field</u>	<u>Values/Formats</u>	<u>Req.</u>	<u>XML Tag</u>	<u>Comments</u>
CODIS Specimen Number	Up to 32 characters.	Yes	SPECIMENNUMBER	A unique identifier for the specimen within the batch.
CODIS Specimen Category	Convicted Offender.	Yes	SPECIMENCATEGORY	Convicted Offender should be used for all specimens.
CODIS Population Group	Black Caucasian Hispanic American Indian Not Available Oriental Unknown Unspecified Up to 15 characters or blank.	No	POPULATIONGROUP	Valid CODIS population group. The State will specify whether to output this field.

The format of the remainder of the Batch packet is dependent upon the type of DNA technology (RFLP or PCR) used to create the Batch. The following table describes the format for PCR results in a Batch packet.

<u>Field</u>	<u>Values/Formats</u>	<u>Req.</u>	<u>XML Tag</u>	<u>Comments</u>
CODIS Locus name	Up to 10 characters.	Yes	LOCUSNAME	See Appendix D for valid Locus names.
Reading Type	Analytic Verification Up to 15 characters.	Yes	PCRREADINGTYPE	Contract labs analyzing convicted offender specimens should use Analytic. QA labs should use Verification.
Reading By	Up to 20 characters.	Yes	PCRREADINGBY	A valid CODIS User ID of the person performing the reading.
Reading Date/Time	smalldatetime, dd-mm-yyyy hh:nn	Yes	PCRREADINGDATETIME	Date/time the reading was performed.
Lane/Item number	smallint 1 to Max	Yes	PCRLANENUMBER	Number of lane/item where alleles are located.
PCR Locus Value	Up to 10 characters.	Yes	PCRVALUE	See Appendix D for valid alleles values for each locus.

3.1.2.2 CODIS User Packet Values

The following table lists the acceptable values and formats for the CODIS User packet type.

<u>Field</u>	<u>Values/Formats</u>	<u>Req.</u>	<u>XML Tag</u>	<u>Comments</u>
User ID	Up to 20 characters.	Yes	USERID	Typically, this is the Windows NT login ID for the user.
CMF Packet Version	2.5 Float(1) 1 to Max	Yes	USER_PACKETVERSION	Used to specify the version of the CMF Packet used. As requirements change, newer versions/formats of the CMF Packet will be used.
User Lab ORI	Up to 10 characters.	Yes	USERORI	CODIS lab ORI for the user (the State's ORI).
First Name	Up to 20 characters.	Yes	FIRSTNAME	First name of the user.
Last Name	Up to 20 characters.	Yes	LASTNAME	Last name of the user.
Start Date	Smalldatetime, dd-mmm-yyyy	Yes	STARTDATE	The date the user is allowed to begin entering data via the Import process.
Stop Date	Smalldatetime, dd-mmm-yyyy	Yes	STOPDATE	The date the user is not allowed to enter any further data into CODIS via the Import process.
User Role	Non-host user Up to 32 characters.	Yes	USERROLE	The only valid value is non-host user.

4 Validation

The Import application validates both the format of the CMF 2.5 file and the data contained within the file. The format of the CMF 2.5 file can also be validated by Contractors using an XML Validator such as the one available from Microsoft at the following URL :

http://msdn.microsoft.com/downloads/samples/internet/xml/xml_validator/default.asp

Appendix A. Example CMF File for PCR Specimens

An example of an Import file from a Hitachi FMBIO for CTTv results follows:

```
<?xml version="1.0" encoding="UTF-8" standalone="no"?>
<!DOCTYPE IMPORTFILE SYSTEM "import.dtd">
<?xml-stylesheet type="text/css" href="import.css" ?>
<!--
    CODIS Import File
-->
<IMPORTFILE>
  <HEADERVERSION>2.5</HEADERVERSION>
  <MESSAGETYPE>Import</MESSAGETYPE>
  <SOURCELAB>VA122015Y</SOURCELAB>
  <DESTINATIONLABORI>VA122015Y</DESTINATIONLABORI>
  <CREATIONDATETIME>30-Jun-1999 09:00</CREATIONDATETIME>
  <!--CODIS Import File-->
  <BATCH>
    <BATCH_PACKETVERSION>2.5</BATCH_PACKETVERSION>
    <BATCHNUMBER>RUN990222001</BATCHNUMBER>
    <LANE>
      <LANENUMBER>1</LANENUMBER>
      <LANETYPE>Control</LANETYPE>
      <CONTROL>
        <CONTROLNAME>K562</CONTROLNAME>
      </CONTROL>
    </LANE>
    <LANE>
      <LANENUMBER>2</LANENUMBER>
      <LANETYPE>Specimen</LANETYPE>
      <SPECIMEN>
        <SPECIMENNUMBER>990222C</SPECIMENNUMBER>
        <SPECIMENCATEGORY>Convicted Offender</SPECIMENCATEGORY>
        <POPULATIONGROUP>Caucasian</POPULATIONGROUP>
      </SPECIMEN>
    </LANE>
    <LANE>
      <LANENUMBER>3</LANENUMBER>
      <LANETYPE>Specimen</LANETYPE>
      <SPECIMEN>
        <SPECIMENNUMBER>990222D</SPECIMENNUMBER>
        <SPECIMENCATEGORY>Convicted Offender</SPECIMENCATEGORY>
        <POPULATIONGROUP>Unknown</POPULATIONGROUP>
      </SPECIMEN>
    </LANE>
    <LANE>
      <LANENUMBER>4</LANENUMBER>
      <LANETYPE>Specimen</LANETYPE>
      <SPECIMEN>
        <SPECIMENNUMBER>990222E</SPECIMENNUMBER>
        <SPECIMENCATEGORY>Convicted Offender</SPECIMENCATEGORY>
        <POPULATIONGROUP>Caucasian</POPULATIONGROUP>
      </SPECIMEN>
  </BATCH>
</IMPORTFILE>
```

```

</LANE>
<PCRREADING>
  <PCRREADINGTYPE>Analytic</PCRREADINGTYPE>
  <PCRREADINGBY>Kellis</PCRREADINGBY>
  <PCRREADINGDATETIME>30-Jun-1999 07:13</PCRREADINGDATETIME>
  <PCRLANE>
    <PCRLANENUMBER>2</PCRLANENUMBER>
    <LOCUS>
      <LOCUSNAME>CSF1PO</LOCUSNAME>
      <PCRALLELE>
        <PCRVALUE>9</PCRVALUE>
      </PCRALLELE>
      <PCRALLELE>
        <PCRVALUE>10</PCRVALUE>
      </PCRALLELE>
    </LOCUS>
    <LOCUS>
      <LOCUSNAME>TH01</LOCUSNAME>
      <PCRALLELE>
        <PCRVALUE>2</PCRVALUE>
      </PCRALLELE>
      <PCRALLELE>
        <PCRVALUE>10</PCRVALUE>
      </PCRALLELE>
    </LOCUS>
    <LOCUS>
      <LOCUSNAME>TPOX</LOCUSNAME>
      <PCRALLELE>
        <PCRVALUE>6</PCRVALUE>
      </PCRALLELE>
      <PCRALLELE>
        <PCRVALUE>8</PCRVALUE>
      </PCRALLELE>
    </LOCUS>
    <LOCUS>
      <LOCUSNAME>vWA</LOCUSNAME>
      <PCRALLELE>
        <PCRVALUE>16</PCRVALUE>
      </PCRALLELE>
      <PCRALLELE>
        <PCRVALUE>16</PCRVALUE>
      </PCRALLELE>
    </LOCUS>
  </PCRLANE>
  <PCRLANE>
    <PCRLANENUMBER>3</PCRLANENUMBER>
    <LOCUS>
      <LOCUSNAME>CSF1PO</LOCUSNAME>
      <PCRALLELE>
        <PCRVALUE>9</PCRVALUE>
      </PCRALLELE>
      <PCRALLELE>
        <PCRVALUE>10</PCRVALUE>
      </PCRALLELE>
    </LOCUS>

```

```

<LOCUS>
  <LOCUSNAME>TH01</LOCUSNAME>
</LOCUS>
<LOCUS>
  <LOCUSNAME>TPOX</LOCUSNAME>
  <PCRALLELE>
    <PCRVALUE>6</PCRVALUE>
  </PCRALLELE>
  <PCRALLELE>
    <PCRVALUE>8</PCRVALUE>
  </PCRALLELE>
</LOCUS>
<LOCUS>
  <LOCUSNAME>vWA</LOCUSNAME>
  <PCRALLELE>
    <PCRVALUE>16</PCRVALUE>
  </PCRALLELE>
  <PCRALLELE>
    <PCRVALUE>16</PCRVALUE>
  </PCRALLELE>
</LOCUS>
</PCRLANE>
<PCRLANE>
  <PCRLANENUMBER>4</PCRLANENUMBER>
<LOCUS>
  <LOCUSNAME>CSF1PO</LOCUSNAME>
  <PCRALLELE>
    <PCRVALUE>7</PCRVALUE>
  </PCRALLELE>
  <PCRALLELE>
    <PCRVALUE>12</PCRVALUE>
  </PCRALLELE>
</LOCUS>
<LOCUS>
  <LOCUSNAME>TH01</LOCUSNAME>
  <PCRALLELE>
    <PCRVALUE>3</PCRVALUE>
  </PCRALLELE>
  <PCRALLELE>
    <PCRVALUE>8</PCRVALUE>
  </PCRALLELE>
</LOCUS>
<LOCUS>
  <LOCUSNAME>TPOX</LOCUSNAME>
  <PCRALLELE>
    <PCRVALUE>7</PCRVALUE>
  </PCRALLELE>
  <PCRALLELE>
    <PCRVALUE>10</PCRVALUE>
  </PCRALLELE>
</LOCUS>
<LOCUS>
  <LOCUSNAME>vWA</LOCUSNAME>
  <PCRALLELE>
    <PCRVALUE>8</PCRVALUE>

```

```
</PCRALLELE>  
<PCRALLELE>  
  <PCRVALUE>12</PCRVALUE>  
</PCRALLELE>  
</LOCUS>  
</PCRLANE>  
</PCRREADING>  
</BATCH>  
</IMPORTFILE>
```

Appendix B. Import XML DTD File

The Import XML DTD file follows:

```
<?xml encoding="UTF-8"?>

<!--

*****
CODIS Import Specification
*****

The optional character following a name or list
governs whether the element or the content particles
in the list may occur one or more (+), zero or
more (*), or zero or one times (?). The absence of
such an operator means that the element or content
particle must appear exactly once.

-->

<!ELEMENT IMPORTFILE (HEADERVERSION, MESSAGETYPE,
                      SOURCELAB, DESTINATIONLABORI, CREATIONDATETIME, BATCH+,
                      USER*)>
  <!ELEMENT HEADERVERSION (#PCDATA)>
  <!ELEMENT MESSAGETYPE (#PCDATA)>
  <!ELEMENT SOURCELAB (#PCDATA)>
  <!ELEMENT DESTINATIONLABORI (#PCDATA)>
  <!ELEMENT CREATIONDATETIME (#PCDATA)>

<!ELEMENT PCRREADING (PCRREADINGTYPE, PCRREADINGBY,
                      PCRREADINGDATETIME, PCRLANE+)>
  <!ELEMENT PCRREADINGTYPE (#PCDATA)>
  <!ELEMENT PCRREADINGBY (#PCDATA)>
  <!ELEMENT PCRREADINGDATETIME (#PCDATA)>

<!ELEMENT BATCH (BATCH_PACKETVERSION, BATCHNUMBER, LADDER, , LANE+,
                 PCRREADING+)>
  <!ELEMENT BATCH_PACKETVERSION (#PCDATA)>
  <!ELEMENT BATCHNUMBER (#PCDATA)>
  <!ELEMENT LADDER (#PCDATA)>

<!ELEMENT LANE (LANENUMBER, LANETYPE, CONTROL?, SPECIMEN?)>
  <!ELEMENT LANENUMBER (#PCDATA)>
  <!ELEMENT LANETYPE (#PCDATA)>

<!ELEMENT CONTROL (CONTROLNAME)>
  <!ELEMENT CONTROLNAME (#PCDATA)>

<!ELEMENT SPECIMEN (SPECIMENNUMBER, SPECIMENCATEGORY, POPULATIONGROUP?,
                   )>
  <!ELEMENT SPECIMENNUMBER (#PCDATA)>
  <!ELEMENT SPECIMENCATEGORY (#PCDATA)>
  <!ELEMENT POPULATIONGROUP (#PCDATA)>
```

```
<!ELEMENT PCRLANE (PCRLANENUMBER, LOCUS+)>
  <!ELEMENT PCRLANENUMBER (#PCDATA)>

<!ELEMENT LOCUS (LOCUSNAME, PCRALLELE*)>
  <!ELEMENT LOCUSNAME (#PCDATA)>

<!ELEMENT PCRALLELE (PCRVALUE, PCRREQUIRED?)>
  <!ELEMENT PCRVALUE (#PCDATA)>
  <!ELEMENT PCRREQUIRED (#PCDATA)>

<!ELEMENT USER (USERID, USER_PACKETVERSION, USERORI, FIRSTNAME,
  LASTNAME, STARTDATE, STOPDATE?, USERROLE)>
  <!ELEMENT USERID (#PCDATA)>
  <!ELEMENT USER_PACKETVERSION (#PCDATA)>
  <!ELEMENT USERORI (#PCDATA)>
  <!ELEMENT FIRSTNAME (#PCDATA)>
  <!ELEMENT LASTNAME (#PCDATA)>
  <!ELEMENT STARTDATE (#PCDATA)>
  <!ELEMENT STOPDATE (#PCDATA)>
  <!ELEMENT USERROLE (#PCDATA)>
```

Appendix C. Cascade Style Sheet

The Import XML Import file references a cascading style sheet file (<?xml-stylesheet type="text/css" href="import.css" ?>). The Import XML cascade style sheet file follows:

IMPORTFILE

```
{
  display: block;
  font-family: Arial, Helvetica, sans-serif;
  font-size: x-small;
  width: 30em;
  background-color: #AAADEA;
}
```

IMPORTFILE HEADERVERSION, MESSAGETYPE, SOURCELAB, DESTINATIONLABORI,
CREATIONDATETIME

```
{
  display: block;
  color: #DDDDDD
}
```

BATCH

```
{
  color: #FFFFAA
}
```

BATCH BATCH_PACKETVERSION, BATCHNUMBER, LADDER{

```
  display: block;
  text-indent: 1.5em;
  font-weight: bold
}
```

BATCH LANE

```
{
  display: block;
  text-indent: 3.0em;
}
```

LANE

```
{
  display: block;
  color: blue
}
```

LANE LANENUMBER

```
{
  display: inline;
  font-weight: bold
}
```

LANE LANETYPE

```
{
  display: inline;
  font-weight: bold
}
```

```
}
```

```
CONTROL
```

```
{  
  display: block;  
  color: green  
}
```

```
CONTROL CONTROLNAME
```

```
{  
  display: block;  
  text-indent: 4.5em;  
}
```

```
SPECIMEN
```

```
{  
  display: block;  
  color: red  
}
```

```
SPECIMEN SPECIMENNUMBER, SPECIMENCATEGORY, POPULATIONGROUP
```

```
{  
  display: block;  
  text-indent: 4.5em;  
}
```

```
PCRREADING
```

```
{  
  display: block;  
  text-indent: 3.0em;  
}
```

```
PCRREADING PCRREADINGTYPE, PCRREADINGBY, PCRREADINGDATETIME
```

```
{  
  display: block;  
  color: green;  
}
```

```
PCRREADING PCRLANE
```

```
{  
  display: block;  
  text-indent: 4.5em;  
}
```

```
PCRREADING PCRLANE PCRLANENUMBER
```

```
{  
  display: block;  
  font-weight: bold;  
  color: blue;  
}
```

```
PCRREADING PCRLANE LOCUS
```

```
{  
  display: list-item;  
  color: green;
```

```
}
```

LOCUSNAME

```
{  
  display: block;  
  color: #FFFFAA;  
  font-weight: bold;  
  text-indent: 6.0em;  
}
```

LOCUS PCRALLELE

```
{  
  display: block;  
  font-style: italic;  
  color: green;  
}
```

LOCUS PCRALLELE PCRVALUE

```
{  
  display: block;  
  font-size: x-small;  
  text-indent: 9.0em;  
  color: blue;  
}
```

LOCUS PCRALLELE

```
{  
  display: block;  
  font-size: x-small;  
  text-indent: 9.0em;  
  color: blue;  
}
```

USER

```
{  
  display: block;  
  color: green;  
  text-indent: 1.5em;  
}
```

USER USERID

```
{  
  display: block;  
  font-weight: bold;  
}
```

USER USER_PACKETVERSION, USERORI, FIRSTNAME, LASTNAME, STARTDATE, STOPDATE,
USERROLE

```
{  
  display: block;  
  text-indent: 3.0em;  
}
```

Appendix D. Valid PCR Loci with Allele Values

The table below shows the currently accepted PCR Kits. More kits may be added in the future.

Manufacturer	Kit Name to be output in CMF
Promega	GenePrint PowerPlex 1.1(Catalog numbers DC6091/6090)
Promega	GenePrint PowerPlex 1.2 (Catalog numbers DC 6101/6100)
Promega	GenePrint PowerPlex 2.1 (Catalog numbers DC 6471/6470)
PE Applied Systems	AmpF/STR Profiler Plus (PIN 4303326)
PE Applied Systems	AmpF/STR Cofiler (PIN 4305246)
PE Applied Systems	AmpF/STR Profiler Plus and AmpF/STR Cofiler (PIN 4305979)
Promega Monoplex	Monoplex D5S818 (Catalog number DC6161)
Promega Monoplex	Monoplex D7S820 (Catalog number DC6141)
Promega Monoplex	Monoplex D13S317 (Catalog number DC6151)
Promega Monoplex	Monoplex D16S539 (Catalog number DC6131)
Promega Monoplex	Monoplex TH01 (Catalog number DC5081)
Promega Monoplex	Monoplex TPOX (Catalog number DC5111)
Promega Monoplex	Monoplex CSF1PO (Catalog number DC5091)
Promega Monoplex	Monoplex vWA (Catalog number DC5141)

The table below shows the current PCR Loci and the valid allele values associated with them. New loci and alleles may be added in the future.

Locus	Value to be output in CMF
Amelogenin	X
	Y
CSF1PO	<6
	6
	6.1
	6.2
	6.3
	6.X
	<7
	7
	7.1
	7.2
	7.3
	7.X
	8
	8.1

Locus	Value to be output in CMF
	8.2
	8.3
	8.X
	9
	9.1
	9.2
	9.3
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	15
	>15
D13S317	<7
	7
	7.1
	7.2
	7.3
	7.X
	<8
	8
	8.1
	8.2
	8.3
	8.X
	9
	9.1
	9.2
	9.3

Locus	Value to be output in CMF
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	15
	>15
D16S539	<5
	5
	5.1
	5.2
	5.3
	5.X
	8
	8.1
	8.2
	8.3
	8.X
	9
	9.1
	9.2
	9.3
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1

Locus	Value to be output in CMF
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	15
	>15
D18S51	<9
	9
	9.1
	9.2
	9.3
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X

Locus	Value to be output in CMF
	15
	15.1
	15.2
	15.3
	15.X
	16
	16.1
	16.2
	16.3
	16.X
	17
	17.1
	17.2
	17.3
	17.X
	18
	18.1
	18.2
	18.3
	18.X
	19
	19.1
	19.2
	19.3
	19.X
	20
	20.1
	20.2
	20.3
	20.X
	21
	21.1
	21.2
	21.3
	21.X
	22
	22.1
	22.2
	22.3
	22.X
	23
	23.1
	23.2
	23.3
	23.X
	24
	24.1
	24.2
	24.3
	24.X
	25

Locus	Value to be output in CMF
	25.1
	25.2
	25.3
	25.X
	26
	>26
D1S80	<14
	14
	15
	16
	17
	18
	19
	20
	21
	22
	23
	24
	25
	26
	27
	28
	29
	30
	31
	32
	33
	34
	35
	36
	37
	38
	39
	40
	41
	>41
D21S11	<24.2
	24.2
	24.3
	24.X
	<25
	25
	25.1
	25.2
	25.3
	25.X
	26
	26.1
	26.2
	26.3
	26.X

Locus	Value to be output in CMF
	27
	27.1
	27.2
	27.3
	27.X
	28
	28.1
	28.2
	28.3
	28.X
	29
	29.1
	29.2
	29.3
	29.X
	30
	30.1
	30.2
	30.3
	30.X
	31
	31.1
	31.2
	31.3
	31.X
	32
	32.1
	32.2
	32.3
	32.X
	33
	33.1
	33.2
	33.3
	33.X
	34
	34.1
	34.2
	34.3
	34.X
	35
	35.1
	35.2
	35.3
	35.X
	36
	36.1
	36.2
	36.3
	36.X
	37

Locus	Value to be output in CMF
	37.1
	37.2
	37.3
	37.X
	38
	>38
D3S1358	<12
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	15
	15.1
	15.2
	15.3
	15.X
	16
	16.1
	16.2
	16.3
	16.X
	17
	17.1
	17.2
	17.3
	17.X
	18
	18.1
	18.2
	18.3
	18.X
	19
	>19
D5S818	<7
	7
	7.1
	7.2
	7.3
	7.X
	8

Locus	Value to be output in CMF
	8.1
	8.2
	8.3
	8.X
	9
	9.1
	9.2
	9.3
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	15
	15.1
	15.2
	15.3
	15.X
	16
	>16
D7S8	A
	B
D7S820	<6
	6
	6.1
	6.2
	6.3
	6.X
	7
	7.1

Locus	Value to be output in CMF
	7.2
	7.3
	7.X
	8
	8.1
	8.2
	8.3
	8.X
	9
	9.1
	9.2
	9.3
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	>14
	15
	>15
D8S1179	<8
	8
	8.1
	8.2
	8.3
	8.X
	9
	9.1
	9.2
	9.3

Locus	Value to be output in CMF
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	15
	15.1
	15.2
	15.3
	15.X
	16
	16.1
	16.2
	16.3
	16.X
	17
	17.1
	17.2
	17.3
	17.X
	18
	18.1
	18.2
	18.3
	18.X
	19
	>19
DQAlpha	1.1
	1.2
	1.3

Locus	Value to be output in CMF
	2
	3
	4
	4.1
	4.2
	4.3
	4.X
FGA	<18
	18
	18.1
	18.2
	18.3
	18.X
	19
	19.1
	19.2
	19.3
	19.X
	20
	20.1
	20.2
	20.3
	20.X
	21
	21.1
	21.2
	21.3
	21.X
	22
	22.1
	22.2
	22.3
	22.X
	23
	23.1
	23.2
	23.3
	23.X
	24
	24.1
	24.2
	24.3
	24.X
	25
	25.1
	25.2
	25.3
	25.X
	26
	26.1
	26.2

Locus	Value to be output in CMF
	26.3
	26.X
	27
	27.1
	27.2
	27.3
	27.X
	28
	28.1
	28.2
	28.3
	28.X
	29
	29.1
	29.2
	29.3
	29.X
	30
	>30
GC	A
	B
	C
GYPA	A
	B
HBGG	A
	B
	C
LDLR	A
	B
TH01	<5
	5
	5.1
	5.2
	5.3
	5.X
	6
	6.1
	6.2
	6.3
	6.X
	7
	7.1
	7.2
	7.3
	7.X
	8
	8.1
	8.2
	8.3
	8.X
	9

Locus	Value to be output in CMF
	9.1
	9.2
	9.3
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	>10
	11
	>11
TPOX	<6
	6
	6.1
	6.2
	6.3
	6.X
	7
	7.1
	7.2
	7.3
	7.X
	<8
	8
	8.1
	8.2
	8.3
	8.X
	9
	9.1
	9.2
	9.3
	9.X
	10
	10.1
	10.2
	10.3
	10.X
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	>12
	13

Locus	Value to be output in CMF
	>13
vWA	<11
	11
	11.1
	11.2
	11.3
	11.X
	12
	12.1
	12.2
	12.3
	12.X
	<13
	13
	13.1
	13.2
	13.3
	13.X
	14
	14.1
	14.2
	14.3
	14.X
	15
	15.1
	15.2
	15.3
	15.X
	16
	16.1
	16.2
	16.3
	16.X
	17
	17.1
	17.2
	17.3
	17.X
	18
	18.1
	18.2
	18.3
	18.X
	19
	19.1
	19.2
	19.3
	19.X
	20
	20.1
	20.2

Locus	Value to be output in CMF
	20.3
	20.X
	>20
	21
	>21

Appendix G. Import CMF 1.0 Message Format

The Import CMF 1.0 information expected from the external imaging system consists of an ASCII file containing analysis information for those specimens processed by the external imaging system.¹ The file is a CMF message consisting of the following information. (Each line represents a single line of text in the CMF file.)

CMF Header:

CMF Header Version (1.0)
CMF Message ID (Integer)
CMF Message Type (IMPORT)
Imaging system (source) ORI (9 characters)
CODIS Laboratory (destination) ORI (9 characters)
Creation Date/Time of this file (DD-MMM-YYYY HH:MM:SS)
Imaging system organization/company (up to 64 characters)
Imaging system utilized (up to 64 characters)
Number of packets in this file (Integer)

CMF Packets: The IMPORT message contains the specified number of the following types of CMF packets.

CMF Packet Type (DNA Analysis Result)

CMF Packet Version (1.0)

 CODIS Technology used for analysis

 IF CODIS Technology = PCR:

 CODIS Specimen Number (24 characters)

 CODIS Sample ID (8 characters)

 CODIS Specimen Category (21 characters)

 CODIS Tissue Type (15 characters, may be blank)

 CODIS Tissue Form (10 characters, may be blank)

 CODIS Population Group (15 characters, may be blank)

 Number of markers

 FOR each marker

 CODIS Marker Name

 Number of readings

 FOR each reading

 Reading By (8 characters, User ID of CODIS user)

 Reading Date (DD-MMM-YYYY)

 Reading Time (HH:MM:SS)

 Number of alleles

 FOR each allele

 PCR Value

 ENDFOR

 ENDFOR

 ENDFOR

ENDIF

ENDFOR

CMF Packet Type (CODIS User)

CMF Packet Version (1.0)

¹ This document is based on the *CODIS Imaging Application Program Interface, 2/3/1997*.

User Lab ORI (9 characters)
User Initials (4 characters)
First Name (20 characters)
Last Name (20 characters)
Start Date (DD-MMM-YYYY, may be blank)
User ID (8 characters, may be blank)
eMail ID (8 characters, may be blank)

An example of an IMPORT file for a DQ-Alpha strip looks like the following:

```
1.0
532
IMPORT
CELLMARK
FL0370100
08-MAR-1995 09:14:22
CellMark
BioImage
1
DNA Analysis Result
1.0
PCR
022395047Q3
0
FORENSIC, UNKNOWN
BLOOD
STAIN
UNKNOWN
1
DQALPHA
1
ABCDEFGH
11-MAR-1995
11:10:23
2
1.1
3
```

APPENDIX G

CODIS Hit Counting Guidelines

Combined DNA Index System (CODIS)

Hit Counting Guidelines
(An Element of Performance Measurement)

FBI Laboratory
Forensic Science Systems Unit

Created: Friday, July 24, 1998 1:11 PM

Revised:

Revision History

Date	Author	Comments
May 15, 1998	Steve Niezgoda	Original draft. Content based on email from Taylor Scott (Illinois State Police) and discussions with Bill Eisenberg (SAIC) and Dave Coffman (FDLE Tallahassee).
June 25, 1998	Clare Searby	Performed major revisions and added examples.
July 2, 1998	Clare Searby	Clarified definitions based on peer review. Added aggregate counting.
July 9, 1998	Steve Niezgoda Clare Searby	Incorporated feedback from Jim Bixby, David Coffman, Florencio Dasalla, Barbara Evans, Keith Inman, George Li, Don MacLaren, and Taylor Scott at the CODIS GDIS 5.1 training on July 9, 1998.
July 23, 1998	Clare Searby	Incorporated additional feedback from David Coffman, Keith Inman, Ken Konzak, and Taylor Scott.

Table of Contents

Oh No! (Or, the introduction)	1
Counting is not Easy (Or, the problem statement)	1
What’s in a Name? (Or, definitions)	2
Casework Laboratory	2
Convicted Offender Laboratory.....	2
Hit.....	2
Investigations Aided.....	3
The Rules	4
Rule #1.....	4
Rule #2.....	5
Rule #3.....	5
Scorecards	6
Casework Scorecard	6
Convicted Offender (SDIS) Scorecard	7
Entire State Lab Scorecard	8
Examples	9
Scenario #1	9
Scenario #2	9
Scenario #3	10
Scenario #4	11
Scenario #5	13
Scenario #6	14
Scenario #7	14
Scenario #8	14
More Examples	16
Scenario #1	16
Scenario #2	17
Aggregate Counting	18
Rules.....	18
Example	18
What Would You Say?	18
Casework Labs	19
1. How many cases submitted to your laboratory has CODIS assisted?.....	19
2. How many hits have you made in your laboratory?.....	20
3. How many cases submitted to your laboratory has SDIS assisted?	20
4. How many hits (Forensic and Offender) have you made at SDIS?	21
5. How many cases submitted to your lab has NDIS assisted?.....	21
6. How many hits (Forensic and Offender) have you made at NDIS?.....	22
7. How many cases submitted to other labs in the State has your laboratory assisted?	22
8. How many cases elsewhere in the U.S. (outside of your State) has your laboratory assisted?.....	23
9. How many times have you matched against the State’s Convicted Offender Index?.....	23
10. How many of your cases were assisted by the State’s Convicted Offender Index?.....	24

CODIS Hit Counting Guidelines

11. How many times have you matched against another state's Convicted Offender Index?	24
12. How many cases were assisted by another State's Convicted Offender Index?	25
Convicted Offender Labs (SDIS)	25
1. How many Offender Hits have you made at SDIS?	26
2. How many Forensic Hits have you made at SDIS?	26
3. How many hits have you made at SDIS?	27
4. How many cases have been assisted by your SDIS?	27
5. How many cases within your State have been assisted by your Convicted Offender Index?	28
6. How many cases within your State have been assisted by your Forensic Index?	28
7. How many cases in other states have been assisted by labs in your State?	29
8. How many NDIS hits have been made because of your Convicted Offender Index?	29
9. How many Forensic Hits has your State participated in at NDIS?	30
10. How many hits has your SDIS made for other states?	30
11. How many cases in other states have been assisted by your Convicted Offender Index?	31
12. How many cases in other states have been assisted by your cases in your State?	31
13. How many cases in your State were assisted by other states' Forensic Indexes?	32
Aggregate Questions (Answered by SDIS)	32
1. How many cases in your State have been assisted by CODIS?	32
2. What is the total number of Forensic Hits in your State?	33
3. What is the total number of Offender Hits, at SDIS and NDIS, in which your State participated?	34
Sample Statements	36
Casework Lab (LDIS)	36
Convicted Offender Lab (SDIS)	38
Other Metrics	39
Appendix A: Scorecards	A-1
Casework Scorecard	A-1
Convicted Offender Scorecard	A-2
Entire State Lab Scorecard	A-3
Appendix B: CODIS Match Dispositions	B-1

Oh No! (Or, the introduction)

It's 3:00 pm and you are finally starting to relax. Since this morning, you've been hammered by three prosecutors who want lab reports yesterday, coerced into giving a lab tour because your boss was "too busy", continued the lengthy process of validating the latest DNA technology, and argued with your information technology people about why CODIS is running so slowly. (The FBI swears the problem is not CODIS!) So far, just another day in the lab.

Thinking that you might actually get home before the beginning of your favorite TV show, you start feeling pretty good. The telephone rings and your fantasy vanishes like a puff of smoke. As you listen to the harried voice at the other end, you stifle that pang of angst that always precedes a crisis. Your mind races as you catch fragments of the conversation:

"... from the press is doing a story on DNA and wants an interview ..."

Oh great, another opportunity to be misquoted.

"... under a tight deadline. The reporter needs to talk with you this afternoon ..."

Thanks for the short notice! How am I gonna get this ketchup stain off my clothes? I knew I shouldn't have had french-fries with lunch.

"... shouldn't take more than 15 minutes ..."

When was the last time anything around here took less than 15 minutes?

"... just some simple questions, you know, things like how many cases we work each year, how many hits we've had ..."

What? 'How may hits we've had?' Oh no! Not that! Anything but that! THE FBI STILL HASN'T GIVEN US ANY GUIDELINES FOR COUNTING HITS!

As you reach for your Maalox, you hope that these guidelines provide a simple, straightforward approach to counting CODIS hits.

Counting is not Easy (Or, the problem statement)

Why in the world is counting hits so difficult? Why has it taken so long to develop straightforward, consistent hit counting guidelines? The problem is simple: counting is not easy! The trick to good hit counting is to give credit to all the participants, without inflating the total number of hits. The inflation problem is real: if two local laboratories link their cases through a hit at State, both local labs and the state lab all want to claim hits -- a total of three hits. Although it is reasonable for all three organizations to claim some credit, only one hit occurred!

To solve this dilemma, we need to track two metrics. The primary metric is the number of investigations aided by CODIS. This is *the* primary metric: the effectiveness of CODIS is ultimately measured by the crimes it helps solve.

The secondary metric is the number of hits made by CODIS. Counting the number of hits gives laboratories credit for their investment in CODIS, and indirectly shows the value CODIS adds to fighting crime. In the past, "Investigations

The effectiveness of CODIS is ultimately measured by the crimes it helps solve. Therefore, the number of "investigations aided" is a better measure of program performance than the number of "hits".

Aided” may have been treated as subordinate to “hits”. This is incorrect! The better measure of CODIS’s value to society is the number of criminal investigations it assists.

The previous paragraph was important, read it again.

Laboratories may also wish to experiment with variations of these metrics. For example, casework labs may want to describe how their CODIS database has assisted other labs in the State/country. State labs may want to show how their convicted offender program has helped solve crimes in other states. State labs may also want to compute a tally of all CODIS activity for the state, including hits and Investigations Aided in local labs. The counting approach outlined in this document handles these, and other, variations.

What’s in a Name? (Or, definitions)

Casework Laboratory

A casework laboratory is a forensic DNA lab responsible for developing DNA profiles from crime scene evidence. A casework laboratory counts metrics using the Casework Scorecard (scorecards are explained later).

Convicted Offender Laboratory

A convicted offender laboratory is a forensic DNA lab responsible for developing DNA profiles from samples provided by known convicted offenders. This document assumes that the convicted offender laboratory is also the state repository, or SDIS. A convicted offender laboratory counts metrics using the Convicted Offender Scorecard. Although convicted offender laboratories may also perform casework, Offender Hits should always be counted using the Convicted Offender Scorecard, and Forensic Hits should always be counted using the Casework Scorecard.¹

Although convicted offender laboratories may also perform casework, Offender Hits should always be counted using the Convicted Offender Scorecard, and Forensic Hits should always be counted using the Casework Scorecard.¹

Hit

A hit is a confirmed match between two or more DNA profiles discovered by CODIS software at a single instant in time. Hits may occur at any level in the CODIS hierarchy, LDIS, SDIS, or NDIS. There are two categories of hits:

- A Forensic Hit (**FH**) occurs when two or more forensic samples are linked at LDIS, SDIS, or NDIS. Forensic Hits are sometimes called case-to-case hits.
- An Offender Hit (**OH**) occurs when one or more forensic samples are linked to a convicted offender sample at SDIS or NDIS.

Sometimes, hits may be classified as both Offender Hits and Forensic Hits. When this occurs, always call the hit an Offender Hit.

¹ There is one exception: states having only one DNA laboratory should use the Entire State Laboratory Scorecard for tracking all metrics. (See Appendix A)

Offender Hits are sometimes called case-to-offender hits.

Sometimes, hits may be classified as both Offender Hits and Forensic Hits. For example, two unknown suspect cases match each other and a convicted offender. When this occurs, always classify the hit as an Offender Hit.

There are several important concepts not stated in this definition. First, hits are identical to matches - there is no difference! Second, hits result from searching CODIS databases. *Hits are not created by matching known samples to unknown samples on the laboratory workbench!* Finally, we no longer make a distinction between cold and warm hits, since both add value to the investigative process.² Hits are hits - count them all!

We no longer make a distinction between cold and warm hits, since both add value to the investigative process.

Investigations Aided

Each CODIS hit typically assists one or more criminal investigations. For the purposes of hit counting, a criminal investigation equates to a case, which equates to a submission to a laboratory. *This document uses the terms “cases” and “investigations” interchangeably.* Although a single case may have multiple submissions, and you can probably contrive scenarios where a “case” represents more than one investigation (like a serial rapist task force), equating these three terms is awfully convenient for hit counting. (If anything, this approach understates the value of a CODIS hit.) The metric for counting the number of Investigations Aided is **IA**:

A good rule of thumb for determining whether an investigation has been aided is to ask, “Did the CODIS hit add value to the investigative process?” If the answer is yes, take credit for aiding an investigation.

- **IA (Investigations Aided)**

For casework laboratories (LDIS): The number of cases submitted *to your lab* that were assisted by a CODIS hit.

For convicted offender laboratories (SDIS): The number of cases submitted *to labs within your State* that were assisted by a CODIS hit.

The following terms are synonymous: Investigations Aided, Investigations Assisted, Cases Aided, and Cases Assisted. In other words,

Investigations Aided = Investigations Assisted = Cases Aided = Cases Assisted.

² In a cold hit, there is no prior indication that the DNA profiles are related. Cold hits add value by linking cases that are previously unlinked, or by providing investigators with the identity of a known convicted offender. In a warm hit, investigators have a hunch that there may be a match in CODIS. A typical example of a warm hit is when a police officer develops a suspect in a case, obtains a blood sample, and has a qualified DNA analyst use CODIS to search the profile against other unsolved cases. In this example, the warm hit adds value by saving the investigative resources required to link the cases without DNA.

Finally, it is important to recognize that sometimes you may inadvertently undercount Investigations Aided because of missing information. For example, the police may never notify you that a single CODIS hit assisted several investigations that they had linked through other means. All you can do is your best! A good rule of thumb for determining whether an investigation has been aided is to ask, “Did the CODIS hit add value to the investigative process?” If the answer is yes, take credit for aiding an investigation.

Sometimes, you may inadvertently undercount Investigations Aided because of missing information.

The Rules

The following three rules must be followed to properly count Investigations Aided and hits.

Rule #1

The level in the CODIS hierarchy (LDIS, SDIS, NDIS) at which the hit occurs gets credit for the hit.

If you did not personally run Searcher, AutoSearcher, or Batch Search in your laboratory, you cannot claim a hit. However, if a DNA profile developed in your laboratory is part of a hit made in another laboratory, you can claim that you *participated* in a hit. The following metrics track hit participation.

- **FH_s:** A Forensic Hit made at SDIS that includes one or more profiles developed by a casework laboratory. (This metric only applies to casework laboratories.)

Casework laboratories can use this metric to help describe their participation in a statewide CODIS program. For example, the director of a casework laboratory might say, “Our laboratory takes great pride in being part of the statewide CODIS program. We believe that sharing data with other laboratories through CODIS is a great way to solve crimes. And we have provided investigative leads to other labs in the State: our laboratory has participated in ___ Forensic Hits made at SDIS.”

- **FH_n:** A Forensic Hit made at NDIS that includes one or more profiles developed by a casework laboratory. (This metric applies to both casework and convicted offender laboratories.)

Laboratories can use this metric to help describe their participation in the National DNA Index System. For example, a casework laboratory administrator might say, “In addition to participating in a statewide CODIS program, we also share our data with the rest of the forensic community by participating in the FBI’s National DNA Index System. Our laboratory has been part of ___ Forensic Hits made at NDIS.”

- **OH_s:** An Offender Hit made at SDIS that matched one or more profiles developed by a casework laboratory. (This metric only applies to casework labs.)

Casework laboratories can use this metric to help describe their participation in a statewide CODIS program. For example, a casework laboratory spokesperson might say, “It is our policy to share our forensic DNA data with other crime

laboratories in the State in an effort to solve crimes that would otherwise go unsolved. The State's convicted offender database has been particularly helpful, producing ___ hits that have aided ___ investigations for our laboratory."

- **OH_n:** This metric has two definitions, one for casework laboratories and one for offender laboratories.

Casework Laboratory: An Offender Hit made at NDIS that matched one or more profiles developed by the casework laboratory.

Casework laboratories can use this metric to help describe their participation in the National DNA Index System. For example, a casework laboratory spokesperson might say, "As you know, in an effort to solve as many crimes as possible, we participate in the FBI's National DNA Index System. This participation has paid off: to date, there have been ___ Offender Hits at NDIS that have aided ___ investigations in our laboratory."

Convicted Offender Laboratory (SDIS): An Offender Hit made at NDIS that matched a convicted offender profile developed by the State.

Convicted offender laboratories can use this metric to help describe how their convicted offender database contributes to solving crimes throughout the Country. An SDIS administrator might say, "Our convicted offender DNA program has aided law enforcement in other states, too. To date, there have been ___ Offender Hits at NDIS as a result of our convicted offender program. These ___ hits have aided ___ investigations in other states."

Rule #2

A single hit may aid more than one investigation.

That's right. A hit linking five separate crimes is still only one hit. However, laboratories may claim credit for all of the cases they have assisted, including cases inside and outside of their jurisdiction. For each case that is assisted by a CODIS hit, the laboratory that worked the case is credited with one "Investigation Aided" (IA). Additionally, laboratories receive participation credit for assisting investigations at the state (IA_s) and national (IA_n) levels.

- **IA_s (Investigations Aided Elsewhere in the State):** The number of cases belonging to other laboratories in your State that you assisted through an SDIS hit. (This metric only applies to casework laboratories.)
- **IA_n (Investigations Aided Elsewhere in the Nation):** The number of cases belonging to other laboratories in the U.S. (outside of your State) that you assisted through an NDIS hit. (This metric applies to both casework and convicted offender labs.)

Rule #3

An investigation may be aided only once.

Rule #3 states that we count how many investigations CODIS has aided. We **do not** count the number of times CODIS has aided investigations. This is a subtle but important distinction –

read it again! There may be instances where a particular investigation is part of multiple hits. For example, a serial rapist may cause several CODIS hits over the course of a crime spree. However, each Investigation Aided is counted only once. The following example illustrates this rule:

On Day #1, two unknown suspect cases (Case 1 and Case 2) are matched by CODIS at LDIS. The resulting score is 1 Forensic Hit and 2 Investigations Aided. On Day #2, another unknown suspect case (Case 3) is entered into CODIS and searched. Case 3 is found to match Cases 1 & 2. The result of the search on Day #2 is 1 Forensic Hit and 1 Investigation Aided. The total score for the laboratory is 2 Forensic Hits and 3 Investigations Aided. *Although Cases 1 & 2 were aided twice (once for each hit), they were only counted as Investigative Assists once.*

While you might argue that this method understates the “value” of a CODIS hit, it simplifies hit counting. Finally, Rule #3 makes it is possible to have a hit that assists no investigations (IA = 0). See Scenario #6 for an example.

Scorecards

We have created scorecards to facilitate the counting process. (Sample forms are provided in Appendix A.) Note that there are three different scorecards, one for casework laboratories, one for convicted offender laboratories, and one for laboratories that perform all DNA analysis for the State (called an Entire State Lab). Remember that laboratories performing both convicted offender analysis and casework should score each activity on separate scorecards (except for Entire State Labs). The scorecards are designed to be updated on a regular basis.

Casework Scorecard

Following is a sample scorecard for casework:

Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Total								

Fields are defined below.

Field Name	Description
FH	Forensic Hit made by searching your CODIS database. (One hit can link multiple cases.)
IA	Cases belonging to your laboratory that were assisted by a CODIS hit at LDIS, SDIS, or NDIS. (Each case is counted only once!)
FH _s	Forensic Hit made at SDIS that matched one or more cases from your laboratory.
FH _n	Forensic Hit made at NDIS that matched one or more cases from your laboratory.
OH _s	Offender Hit made at SDIS that matched one or more cases from your laboratory.
OH _n	Offender Hit made at NDIS that matched one or more cases from your laboratory.

IA _s	Cases belonging to other laboratories in your State that were linked to one or more cases from your lab through an SDIS hit. (Each case is counted only once!)
IA _n	Cases belonging to other laboratories in the country (outside of your State) that were linked to one or more cases from your lab through an NDIS hit. (Each case is counted only once!)

Convicted Offender (SDIS) Scorecard

Following is a sample Convicted Offender Scorecard:

Date	FH	OH	IA	OH _n	FH _n	IA _n
Total						

Since the SDIS administrator receives a copy of all NDIS match reports, the SDIS scorecard can also be used to track all NDIS activity within the state. Note: In order to confirm the disposition of an NDIS hit, the SDIS administrator must contact the local lab(s) that participated in the hit.

Fields are defined below.

Field	Description
FH	Forensic Hit made by searching your SDIS database. (One hit can link multiple cases within the State.)
OH	Offender Hit made by searching your SDIS database. (One hit can link multiple offenders and cases.)
IA	Investigations Aided in the State by an SDIS or NDIS hit.
OH _n	Offender Hit made at NDIS linking an offender from your State to one or more cases in other states.
FH _n	Forensic Hit made at NDIS linking a casework sample from your State to one or more cases in other states.
IA _n	Cases belonging to other laboratories in the U.S. (outside of your State) that were linked to one or more cases from your State through an NDIS hit.

Entire State Lab Scorecard

In some states, there is only one laboratory that conducts ALL convicted offender and casework analysis for the State. For the purpose of counting hits, these laboratories will be considered “entire state laboratories.” Following is a sample scorecard for tracking both convicted offender and casework activity in an entire state lab:

Date	FH	OH	IA	OH _n (1)	OH _n (2)	FH _n	IA _n

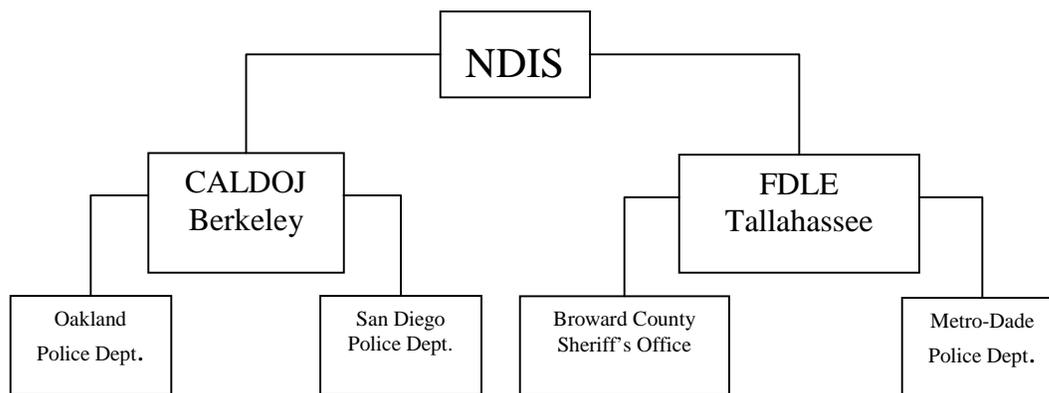
Note: This scorecard is to be used by entire state labs only. It is not intended to be used by laboratories that function as both the state repository and a casework lab. Labs that function in this capacity should use both a Casework and Offender Scorecard to track CODIS hits.

Fields are defined below.

Field	Description
FH	Forensic Hit made by searching your SDIS database. (One hit can link multiple cases within the State.)
OH	Offender Hit made by searching your SDIS database. (One hit can link multiple offenders and cases.)
IA	Investigations Aided in the State by an SDIS or NDIS hit.
OH _n (1)	Offender Hit made at NDIS that matched one or more cases from your laboratory.
OH _n (2)	Offender Hit made at NDIS linking an offender from your State to one or more cases in other states.
FH _n	Forensic Hit made at NDIS linking a casework sample from your State to one or more cases in other states.
IA _n	Cases belonging to other laboratories in the U.S. (outside of your State) that were linked to one or more cases from your State through an NDIS hit.

Examples

The following examples use the laboratories listed in the diagram below. The Florida Department of Law Enforcement (FDLE) Tallahassee and California Department of Justice (CALDOJ) Berkeley laboratories are convicted offender (SDIS) laboratories, while the other four laboratories are casework laboratories (LDIS).



Scenario #1

On Day #1, Metro-Dade uses CODIS to discover a match between two previously unlinked cases. On Day #2, a new case is submitted to Metro-Dade, and CODIS matches it to the two cases linked on Day #1.

The scorecard below outlines the credit the laboratory receives:

Metro-Dade Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1	1	2						
Day #2	1	1						
Total	2	3	0	0	0	0	0	0

Explanation: Matching the first two cases (Day #1) produced one Forensic Hit, or “FH” and two Investigations Aided, or “IA”. When the third case was linked to Cases 1 and 2, another hit was recorded, but only Case 3 was assisted (1 IA) as the first two cases had been aided once before. (This is an application of Rule #3.) Thus, after Day #2, the Metro-Dade laboratory can report a total of two Forensic Hits and three Investigations Aided.

Scenario #2

On Day #3, SDIS at the CALDOJ Berkeley laboratory links a case from the Oakland Police Department to a case at the San Diego Police Department. (Neither case has been previously assisted.)

The scorecards below show how to credit each participating laboratory:

CALDOJ Berkeley (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #3	1		2			
Total	1	0	2	0	0	0

Oakland Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #3		1	1				1	
Total	0	1	1	0	0	0	1	0

San Diego Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #3		1	1				1	
Total	0	1	1	0	0	0	1	0

Explanation: Only the Berkeley laboratory can claim direct credit for the hit because it occurred at SDIS. However, both local laboratories can claim that they participated in a Forensic Hit at SDIS (1 FH_s apiece), and that they aided one investigation in their own laboratory (1 IA apiece) and one investigation in another California laboratory (1 IA_s apiece). Additionally, Berkeley receives credit for aiding two investigations in the State (2 IA).

Scenario #3

On Day #4, a new case from the San Diego Police Department matches a convicted offender sample from the FDLE Tallahassee laboratory at NDIS.

The scorecards below show how to credit each participating laboratory:

San Diego Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #3		1	1				1	
Day #4		1				1		
Total	0	2	1	0	0	1	1	0

FDLE Tallahassee (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #4				1		1
Total	0	0	0	1	0	1



NDIS				
Date	FH	OH	IA	Participating Labs
Day #4		1	1	FDLE Tallahassee / San Diego PD
Total	0	1	1	

Explanation: Since NDIS is responsible for the hit, NDIS gets direct credit and a “1” is recorded under the Offender Hit, “OH” column. NDIS is additionally credited with one Investigation Aided at the national level (1 IA). Both participating laboratories receive credit for contributing to a national Offender Hit (1 OH_n apiece). Furthermore, the San Diego laboratory aided an investigation in its own jurisdiction (1 IA), and the Tallahassee laboratory aided an investigation in another State (1 IA_n).

Scenario #4

On Day #5, a new case from the Oakland Police Department laboratory in California matches a new case in the Metro-Dade Police Department laboratory in Florida at NDIS.

The scorecards below show how to credit each participating laboratory:



Oakland Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #3		1	1				1	
Day #5		1		1				1
Total	0	2	1	1	0	0	1	1



CALDOJ Berkeley (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #3	1		2			
Day #5			1		1	1
Total	1	0	3	0	1	1



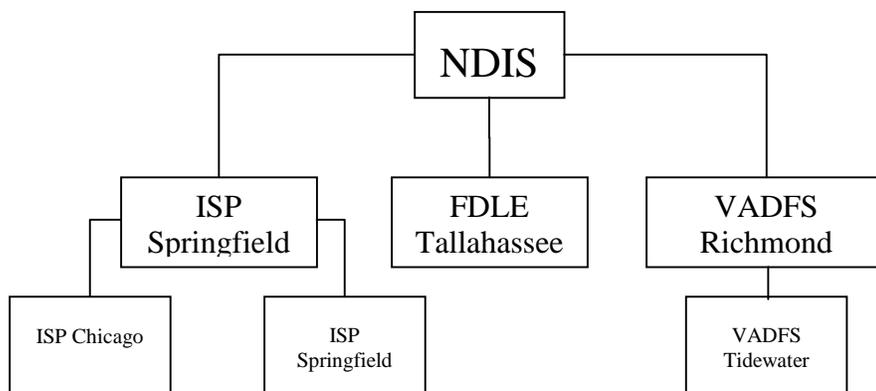
Metro-Dade Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1	1	2						
Day #2	1	1						
Day #5		1		1				1
Total	2	4	0	1	0	0	0	1

FDLE Tallahassee (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #4				1		1
Day #5			1		1	1
Total	0	0	1	1	1	2

NDIS				
Date	FH	OH	IA	Participating Labs
Day #4		1	1	FDLE Tallahassee / San Diego PD
Day #5	1		2	Metro-Dade PD / Oakland PD
Total	1	1	3	

Explanation: Both local laboratories receive credit for assisting one case in their respective laboratories (1 IA apiece) and one investigation in another State (1 IA_n apiece), and for participating in a Forensic Hit at NDIS (1 FH_n apiece). Since NDIS is responsible for the hit, only NDIS receives direct credit for producing the hit (1 FH). Additionally, NDIS is credited with assisting two investigations nationally (2 IA). Having received a hit report about this national Forensic Hit, the two convicted offender laboratories can track the Investigations Aided by the hit. Each lab records one national Forensic Hit (1 FH_n), one Aided Investigation in their respective states (1 IA), and one Aided Investigation in another state (1 IA_n).

For the following examples we will use the laboratories listed in the diagram below. The FDLE Tallahassee, Virginia Division of Forensic Science (VADFS) Richmond, and Illinois State Police (ISP) Springfield laboratories are SDIS labs, while the other three laboratories are casework labs (LDIS). *It is important to note that in this diagram, the Springfield laboratory plays a dual role as the state repository and as a local casework laboratory. Offender laboratories that also perform casework must maintain separate scorecards for the two activities.*



Scenario #5

The ISP Chicago laboratory has an unsolved case from 1994 stored in LDIS. The ISP Springfield (LDIS) laboratory develops an unknown suspect case in 1998. On Day #1 the Springfield (SDIS) laboratory matches the profiles from the two laboratories.

The scorecards below show how to credit each participating laboratory:

ISP Springfield (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Total	1	0	2	0	0	0

ISP Chicago (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1	1				1	
Total	0	1	1	0	0	0	1	0

ISP Springfield (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1	1				1	
Total	0	1	1	0	0	0	1	0

Explanation: Only the Springfield state laboratory (SDIS) can claim credit for the hit (1 FH). Both local laboratories receive credit for participating in a state hit (1 FH_s apiece), and for aiding one investigation in their respective laboratories (1 IA apiece). The local labs also receive credit for aiding investigations in one another’s laboratories (1 IA_s apiece). Additionally, the state laboratory is credited for aiding two investigations within Illinois (2 IA).

Scenario #6

A new offender profile is entered into (SDIS) at the Springfield laboratory. On Day #2, this profile matches with the two previously linked cases from Chicago and Springfield.

The scorecards below show how to credit each participating laboratory:

ISP Springfield (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1				
Total	1	1	2	0	0	0

ISP Chicago (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1	1				1	
Day #2					1			
Total	0	1	1	0	1	0	1	0

ISP Springfield (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1	1				1	
Day #2					1			
Total	0	1	1	0	1	0	1	0

Explanation: Only hit points are awarded because both investigations have already been aided. (Remember Rule #3 says that an investigation can be aided only once.) The state lab (SDIS) is credited directly with the hit (1 OH), and the local labs get participation points (1 OH_s apiece).

Scenario #7

On Day #3, the FDLE Tallahassee lab works the same convicted offender that ISP Springfield worked in Scenario #6. (The offender’s blood was collected in both states.) The FDLE profile is uploaded to NDIS, where it matches the Chicago and Springfield cases. Since ISP Springfield already solved these cases back in Scenario #6, there are no score changes. Although this may seem unfair, by crediting only the ISP Springfield lab with the hit you avoid double counting.

Scenario #8

On Day #4, a case from VADFS Tidewater is linked to the Illinois group of cases (and the convicted offender which solved them) at NDIS (see Scenario #6).

The scorecards below show how to credit each participating laboratory:

ISP Springfield (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1				
Day #4				1		1
Total	1	1	2	1	0	1

ISP Chicago (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1			1		1	1
Day #2					1			
Day #4						1		1
Total	0	1	0	0	2	1	1	2

ISP Springfield (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1	1				1	
Day #2					1			
Day #4						1		1
Total	0	1	1	0	1	1	1	1

VADFS Tidewater (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #4		1				1		
Total	0	1	0	0	0	1	0	0

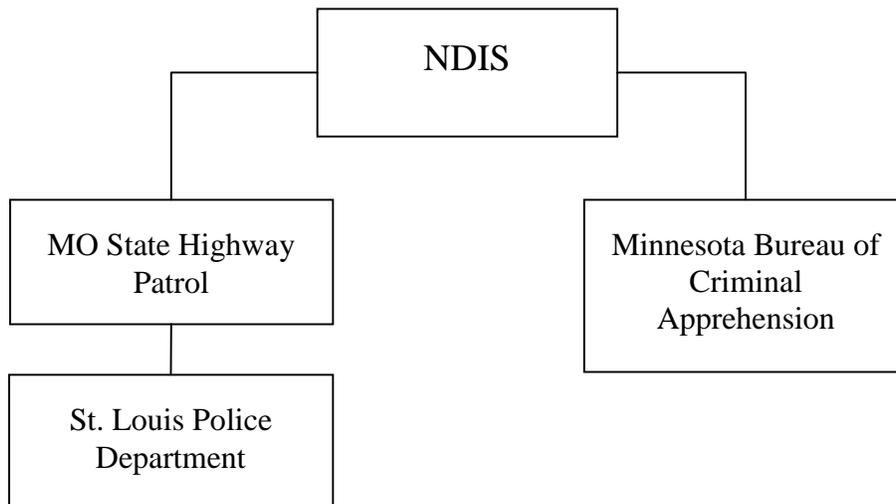
NDIS				
Date	FH	OH	IA	Participating Labs
Day #4		1	1	ISP Chicago / ISP Springfield / VADFS Tidewater
Total	0	1	1	

Explanation: Once again, since NDIS is responsible for the hit, it receives direct credit (1 OH). Only the new case from VADFS Tidewater is aided by the hit, so Tidewater receives 1 IA and 1 OH_n. Each of the three Illinois

laboratories receive 1 IA_n and 1 OH_n for their contribution to the national Offender Hit. NOTE: Although this hit could be considered a Forensic and Offender Hit, it should only be counted once, as an Offender Hit.

More Examples

The previous section provides examples of basic hit counting scenarios. This section provides exceptional cases. For the following scenarios, we will use the laboratories listed in the diagram below. The Missouri State Highway Patrol is an SDIS lab, the Minnesota Bureau of Criminal Apprehension is both an SDIS and LDIS lab, and the St. Louis Police Department laboratory is a casework lab (LDIS).



Scenario #1

An examiner at the St. Louis Police Department laboratory links three cases by comparing DNA profiles on the laboratory workbench, without using CODIS searching. Later that week, one of the cases is entered into the CODIS Forensic index. On Day #1, the case entered into CODIS hits a convicted offender profile at the Missouri State Highway Patrol’s SDIS.

The scorecards below show how to credit each participating laboratory:

St. Louis Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		3			1			
Total	0	3	0	0	1	0	0	0

Missouri State Highway Patrol (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1		1	3			
Total	0	1	3	0	0	0

Explanation: Since the hit occurred at SDIS, only the MO State Highway Patrol laboratory is credited with the hit. Missouri receives one Offender Hit (1 OH) and three Investigations Aided within the State (3 IA). The St. Louis PD lab can claim participation in one Offender Hit at SDIS (1 OH_s), and receives three Investigations Aided (3 IA). NOTE: Although the three cases had previously been linked using DNA, the hit still produces three Investigations Aided (3 IA) because it provides additional information to each investigation (i.e., each investigation is now linked to the convicted offender). Even though this could also be considered a Forensic Hit, it should be classified as an Offender Hit because Offender Hits take priority over Forensic Hits.

Scenario #2

Five rapes occur in St. Louis and are linked using latent fingerprints. DNA examiners at the St. Louis Police Department lab develop a profile from one of the cases, and enter it into CODIS. On Day #2, the profile matches a profile from a solved Minnesota case at NDIS.

The scorecards below show how to credit each participating laboratory:

St. Louis Police Department (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		3			1			
Day #2		5		1				
Total	0	8	0	1	1	0	0	0

Minnesota Bureau of Criminal Apprehension (SDIS & LDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #2					1	5
Total	0	0	0	0	1	5

NDIS				
Date	FH	OH	IA	Participating Labs
Day #2	1	0	5	Minnesota Bureau of Criminal Apprehension / St. Louis Police Department
Total	1	0	5	

Explanation: NDIS gets a Forensic Hit (1 FH) and five Investigations Aided (5 IA). Minnesota contributed to a national Forensic Hit (1 FH_n) and aided five cases in another State (5 IA_n). No credit is given for aiding the case from

Minnesota: since the case was already solved, the hit added no value!³ St. Louis receives a national Forensic Hit (1 FH_n) and five Aided Investigations (5 IA). Although the cases had previously been linked by means other than DNA, the hit still produces five Investigations Aided (5 IA) because new information is provided to each case.

Aggregate Counting

Up to this point, we have focused exclusively on how individual laboratories count Investigations Aided and hits. In the real world, however, officials may be asked to describe the performance of CODIS across an entire state. To respond to this question, we must tally results across laboratories. (This is called aggregate counting.) The counting approach we have been using thus far readily adapts to aggregate counting.

Rules

1. Summing the Investigations Aided (IA) from each casework laboratory (LDIS) provides an exact count of all Investigations Aided in the State. Do **not** add in the IA_s and IA_n values, or the IA value at the offender laboratory (SDIS) – you will double count!
2. Summing all of the Forensic Hits (FH) made by casework labs in the State with the total number of Forensic Hits (FH) made at SDIS provides an exact count of all Forensic Hits within the State. Again, do **not** add in the FH_s and FH_n values – you will double count.
3. Adding the total number of Forensic Hits in the State (from #2) to the number of Offender Hits (OH), provides an exact count of the total number of hits within the State. Again, to avoid double counting, do not add in FH_s, FH_n, and OH_n.

Example

Examples of aggregate counting are provided in *What Would You Say?*

What Would You Say?

This section contains questions that may be asked by the press, budget personnel, or your boss. Each question is followed by a description of how to formulate an answer, a sample scorecard, and a sample response (calculated by summing the highlighted cells on the sample scorecard).

³ In reality, hitting a solved case may add value – knowledge of an additional hit may be used at sentencing, etc. However, for the purpose of hit counting, we do not consider this added value.

Casework Labs

For this group of questions pretend you work for a casework laboratory (LDIS), and that the following scorecard shows the hits and Investigations Aided for your laboratory.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

1. How many cases submitted to your laboratory has CODIS assisted?

Report the number in the “total” row under the “IA” column.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Seven of our cases have been assisted by CODIS.

2. How many hits have you made in your laboratory?

Report the “total” number under the “FH” column.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Our laboratory has made one internal CODIS hit.

3. How many cases submitted to your laboratory has SDIS assisted?

Sum the numbers in the “IA” column that correspond to SDIS hits (OH_s and FH_s).

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Four of our cases were assisted by SDIS.

4. How many hits (Forensic and Offender) have you made at SDIS?

Sum the totals under the “FH_s” and “OH_s” columns.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Our laboratory has participated in three hits at SDIS.

5. How many cases submitted to your lab has NDIS assisted?

Sum the numbers in the “IA” column that correspond to any NDIS hits (OH_n and FH_n).

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: NDIS assisted one case that was submitted to our lab.

6. How many hits (Forensic and Offender) have you made at NDIS?

Sum the totals under the “FH_n” and “OH_n” columns.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Our laboratory participated in one hit at NDIS.

7. How many cases submitted to other labs in the State has your laboratory assisted?

Report the number in the “total” cell under the “IA_s” column.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Our lab aided two cases in other labs within the State.

8. How many cases elsewhere in the U.S. (outside of your State) has your laboratory assisted?

Report the number in the “total” cell under the “IA_n” column.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Our laboratory assisted one case in another State.

9. How many times have you matched against the State’s Convicted Offender Index?

Report the number in the “total” row under the “OH_s” column.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Our laboratory has participated in two Offender Hits within the State.

10. How many of your cases were assisted by the State’s Convicted Offender Index?

Sum all of the numbers under the “IA” column that correspond to any SDIS Offender Hits.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1				1		
Day #4		1				1	1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Two cases submitted to our lab were assisted by the State’s Convicted Offender Index.

11. How many times have you matched against another state’s Convicted Offender Index?

Report the number in the “total” cell of the “OH_n” column.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Your response: Our lab has participated in one interstate Offender Hit.

12. How many cases were assisted by another State’s Convicted Offender Index?

Sum the numbers under the “IA” column that correspond to any NDIS Offender Hits.

Casework Laboratory (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1		2	1	2	1

Your response: One case submitted to our lab was assisted by another State’s Convicted Offender Index.

Convicted Offender Labs (SDIS)

For this group of questions, pretend you work for an offender laboratory, and that the following scorecard shows the hits and Investigations Aided for your laboratory.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

1. How many Offender Hits have you made at SDIS?

Report the number in the “total” cell under the “OH” column.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: There have been two Offender Hits at SDIS.

2. How many Forensic Hits have you made at SDIS?

Report the number in the “total” cell under the “FH” column.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: There have been two Forensic Hits at SDIS.

3. How many hits have you made at SDIS?

Sum the “total” numbers under the “FH” and “OH” columns.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: There have been four hits at SDIS.

4. How many cases have been assisted by your SDIS?

Sum the numbers under the “IA_n” column that correspond to any national Offender Hits with the “total” number under the “IA” column.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1	→	3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our SDIS has assisted 13 investigations.

5. How many cases within your State have been assisted by your Convicted Offender Index?

Sum the numbers under the “IA” column that correspond to any Offender Hits within your State (“OH” column).

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our Convicted Offender Index has aided five cases in the State.

6. How many cases within your State have been assisted by your Forensic Index?

Sum the numbers under the “IA” column on your scorecard that correspond to any SDIS Forensic Hits (“FH” column).

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our Forensic Index has assisted three cases within the State.

7. How many cases in other states have been assisted by labs in your State?

Report the number in the “total” cell under the “IA_n” column on your scorecard.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our state laboratories have assisted six cases in other states.

8. How many NDIS hits have been made because of your Convicted Offender Index?

Report the number in the “total” cell under the “OH_n” column.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our Offender Index was responsible for one interstate hit.

9. How many Forensic Hits has your State participated in at NDIS?

Report the number in the “total” cell under the “FH_n” column.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our State has participated in one national Forensic Hit.

10. How many hits has your SDIS made for other states?

Sum the numbers in the “total” cells under the “OH_n” and “FH_n” columns.

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our SDIS has made two interstate hits.

11. How many cases in other states have been assisted by your Convicted Offender Index?

Sum the numbers in the “IA_n” column that correspond to any national Offender Hits (“OH_n” column).

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Our Convicted Offender Index has assisted three investigations in other States.

12. How many cases in other states have been assisted by your cases in your State?

Sum the numbers in the “IA_n” column that correspond to any national Forensic Hits (“FH_n” column).

Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Three investigations in other states have been aided by cases in our State.

13. How many cases in your State were assisted by other states' Forensic Indexes?

Sum the numbers in the "IA" column that correspond to any Forensic Hits that occurred at NDIS ("FH_n" column).

Convicted Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2		1	2			
Day #3				1		3
Day #4		1	3			
Day #5	1		1			
Day #6			2		1	3
Total	2	2	10	1	1	6

Your response: Two cases in our State have been assisted by other States' Forensic Indexes.

Aggregate Questions (Answered by SDIS)

Aggregate questions apply to all laboratories in the State. Aggregate totals based on this methodology are guaranteed not to double-count. In order to determine aggregate totals, state laboratories must combine SDIS data with data from casework laboratories in the State. To answer the following questions, we will refer to data from two casework laboratories and a convicted offender laboratory. Once again, pretend you work for the convicted offender laboratory.

1. How many cases in your State have been assisted by CODIS?

Sum the numbers in the "total" cell under the "IA" columns on Casework Laboratory A's and Casework Laboratory B's scorecards.

Casework Laboratory A (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Casework Laboratory B (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1	1	3						
Day #2		1	1				2	
Day #3		1		1				1
Day #4		1				1		
Total	1	6	1	1	0	1	2	1

Your response: Thirteen investigations in our State have been aided by CODIS.

2. *What is the total number of Forensic Hits in your State?*

Sum the “total” numbers for the “FH” column on Casework Laboratory A’s, Casework Laboratory B’s, and the Offender Laboratory’s scorecards.

Casework Laboratory A (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Casework Laboratory B (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1	1	3						
Day #2		1	1				2	
Day #3		1		1				1
Day #4		1				1		
Total	1	6	1	1	0	1	2	1

Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2	1		3			
Day #3			1		1	1
Day #3		1	1			
Day #4		1	1			
Day #5	1		1			
Total	3	2	9	0	1	1

Your response: There have been five Forensic Hits in our State. (Note: Two entries are listed under Day #3 on the offender laboratory’s scorecard because a national Forensic Hit and a state Offender Hit both occurred on the same day.)

- What is the total number of Offender Hits, at SDIS and NDIS, in which your State participated?

Sum the “total” numbers for the “OH_n” column on Casework Laboratory A’s and Casework Laboratory B’s scorecards with the numbers in the “total” cells under the “OH” and “OH_n” columns on the Offender Laboratory’s scorecard.

Casework Laboratory A (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1		1				1		1
Day #2		2	1				1	
Day #3		1			1			
Day #4		1			1		1	
Day #5	1	2						
Total	1	7	1	0	2	1	2	1

Casework Laboratory B (LDIS)								
Date	FH	IA	FH _s	FH _n	OH _s	OH _n	IA _s	IA _n
Day #1	1	3						
Day #2		1	1				2	
Day #3		1		1				1
Day #4		1				1		
Total	1	6	1	1	0	1	2	1

Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1	1		2			
Day #2	1		3			
Day #3			1		1	1
Day #3		1	1			
Day #4		1	1			
Day #5	1		1			
Total	3	2	9	0	1	1

Your response: There have been a total of four Offender Hits to which our State contributed.

Sample Statements**Casework Lab (LDIS)**

The Casework Scorecard below will be used for the sample statement that follows:

Casework Laboratory (LDIS)								
Date	FH	IA	FH_s	FH_n	OH_s	OH_n	IA_s	IA_n
Day #1	1	2						
Day #2	1	1						
Day #3	1	3						
Day #4		1		1				1
Day #5		1			1			
Day #6	1	4						
Day #7		1				1		
Day #8	1	2						
Day #9	1	3						
Day #10		1			1			
Day #11		1	1				2	
Day #12		1				1		
Day #13		1			1			
Day #14			1				3	
Day #15	1	2						
Day #16	1	2						
Day #17		2	1					
Day #18		1			1			
Day #19	1							
Day #20			1				1	
Day #21		1	1				1	
Day #22		1			1			
Day #23		1			1			
Day #24	1	3						
Day #25		2				1		
Total	10	37	5	1	6	3	7	1

As many of you are aware, our laboratory has been using DNA to solve crimes involving biological evidence for several years. In addition to comparing evidentiary samples collected at

crime scenes to samples from known suspects collected by the police, we also have an initiative targeted at solving cases with no suspects. This initiative, known as the Combined DNA Index System, or CODIS, is a collaborative effort among our laboratory, the Federal Bureau of Investigation, and other DNA laboratories throughout the US.

CODIS enables state and local crime laboratories to exchange and compare DNA profiles electronically, thereby linking serial violent crimes to each other and to known sex offenders.

Within our laboratory, CODIS has produced 10 hits (***FH***), aiding 22 investigations (***IA for FH***). Each of these hits was made from evidence submitted to our laboratory.

We are also committed to sharing our data with other laboratories in the state in an effort to fight crime. We periodically send our data to Laboratory X where it is compared against the State's convicted offender database, as well as cases submitted from other laboratories. This sharing initiative has paid-off: we have made six hits against the offender database (***OH_s***), aiding six cases in our lab (***IA for OH_s***). We have also made five hits with cases from other laboratories in the state (***FH_s***). These five hits have aided four of our cases (***IA for FH_s***), and seven cases belonging to other laboratories (***IA_s***).

We also share our data with the rest of the country by participating in the FBI's National DNA Index System, or NDIS. We have made four NDIS hits, three against individuals convicted of sex offenses in other states (***OH_n***), and one against another unsolved case in State Z (***FH_n***). These NDIS hits have assisted a total of five cases in our laboratory (***IA for FH_n and OH_n***), and one case in another State (***IA_n***).

In conclusion, by using CODIS, we have aided 37 cases submitted to our laboratory (***IA***), as well as eight cases from other jurisdictions (***IA_s plus IA_n***).

Convicted Offender Lab (SDIS)

The Offender Scorecard below will be used for the sample statement that follows:

Offender Laboratory (SDIS)						
Date	FH	OH	IA	OH _n	FH _n	IA _n
Day #1		1	2			
Day #2	1		3			
Day #3		1				
Day #3					1	
Day #4				1		2
Day #5	1		1			
Day #6		1	3			
Day #7		1	1			
Day #8			2		1	
Day #9		1	1			
Day #10					1	1
Day #11	1		2			
Day #12		1	2			
Day #13	1		1			
Day #14	1		1			
Day #15				1		1
Day #16	1		1			
Day #17			1		1	1
Day #18		1	1			
Day #19		1	2			
Day #20		1				
Day #21				1		1
Day #22	1		2			
Day #23	1		2			
Day #24		1	3			
Day #25		1				
Day #26	1		1			
Day #27		1	1			
Total	9	12	33	3	4	6

In addition to working DNA cases, our laboratory performs two other important crime-fighting functions. First, we collect and analyze DNA samples from individuals convicted of felony sex offenses, like rape. Second, our laboratory is the central repository for all of the forensic DNA profiles in the State. Combined, these two functions allow us to solve violent crimes that would otherwise go unsolved.

Using the Combined DNA Index System, or CODIS, which was developed by the Federal Bureau of Investigation, we search DNA profiles from unsolved cases against DNA profiles from convicted offenders and other cases. Matches made against other cases can link crime scenes together; possibly identifying serial offenders. Based on a match, police in multiple jurisdictions can coordinate their respective investigations, and share the leads they developed independently. Matches made against the Convicted Offender indexes provide investigators with the actual identity of the perpetrator(s).

We believe that our CODIS program has proven to be an effective tool for solving violent crimes. Our convicted offender database has produced 12 hits (*OH*) aiding 16 investigations in our State (*IA for OH*). That's 16 times we have provided the police with the name of a putative perpetrator! The convicted offender program has also proven useful to the rest of the U.S. – producing three hits (*OH_n*) and aiding four investigations in other states (*IA_n for OH_n*).

CODIS has also helped link serial cases across laboratories in the State. CODIS has produced nine hits among separate laboratories in the State (*FH*), aiding 14 separate investigations (*IA for FH*).

Our laboratory shares all of the DNA profiles with the rest of the U.S. by participating in the FBI's National DNA Index System, or NDIS. This data-sharing initiative has also proven effective: we have made four hits with other states (*FH_n*), assisting three investigations in our State (*IA for FH_n*) and two investigations elsewhere in the U.S. (*IA_n for FH_n*).

In conclusion, our State CODIS database has assisted 33 cases submitted to laboratories in our State (*IA*), as well as six cases from other jurisdictions (*IA_n*).

Other Metrics

The hit counting methodology presented in this document is flexible and easily adapts to other metrics. For example, Offender and Forensic Hits can be further subdivided into cold and warm hits. Or, you can distinguish between hits that provide the police with names of suspects and hits that link unknown-suspect crime scenes. The definitions and rules provided in this document are flexible enough to accommodate any additional metrics you may use to measure the “value” of CODIS.

Appendix A: Scorecards

Casework Scorecard

**CASEWORK
HIT COUNTING SCORECARD**

Date	FH	IA	FH_s	FH_n	OH_s	OH_n	IA_s	IA_n
Total								

- FH** Forensic Hit made by searching your CODIS database. (One hit can link multiple cases.)
- IA** Cases belonging to your laboratory that were assisted by a CODIS hit at LDIS, SDIS, or NDIS. (Each case is counted only once!)
- FH_s** Forensic Hit made at SDIS that matched one or more cases from your laboratory.
- FH_n** Forensic Hit made at NDIS that matched one or more cases from your laboratory.
- OH_s** Offender Hit made at SDIS that matched one or more cases from your laboratory.
- OH_n** Offender Hit made at NDIS that matched one or more cases from your laboratory.
- IA_s** Cases belonging to other laboratories in your State that were linked to one or more cases from your lab through an SDIS hit. (Each case is counted only once!)
- IA_n** Cases belonging to other laboratories in the Country (outside of your State) that were linked to one or more cases from your lab through and NDIS hit. (Each case is counted only once!)

Convicted Offender Scorecard

**CONVICTED OFFENDER
HIT COUNTING SCORECARD**

Date	FH	OH	IA	OH _n	FH _n	IA _n
Total						

- FH** Forensic Hit made by searching your SDIS database. (One hit can link multiple cases within the State.)
- OH** Offender Hit made by searching your SDIS database. (One hit can link multiple offenders and cases)
- IA** Investigations Aided in the State by an SDIS or NDIS hit.
- OH_n** Offender Hit made at NDIS linking an offender from your State to one or more cases in other states.
- FH_n** Forensic Hit made at NDIS linking a casework sample from your State to one or more cases in other states.
- IA_n** Cases belonging to other laboratories in the country (outside of your State) that were linked to one or more cases from your State through an NDIS hit.

Entire State Lab Scorecard

**ENTIRE STATE LAB
HIT COUNTING SCORECARD**

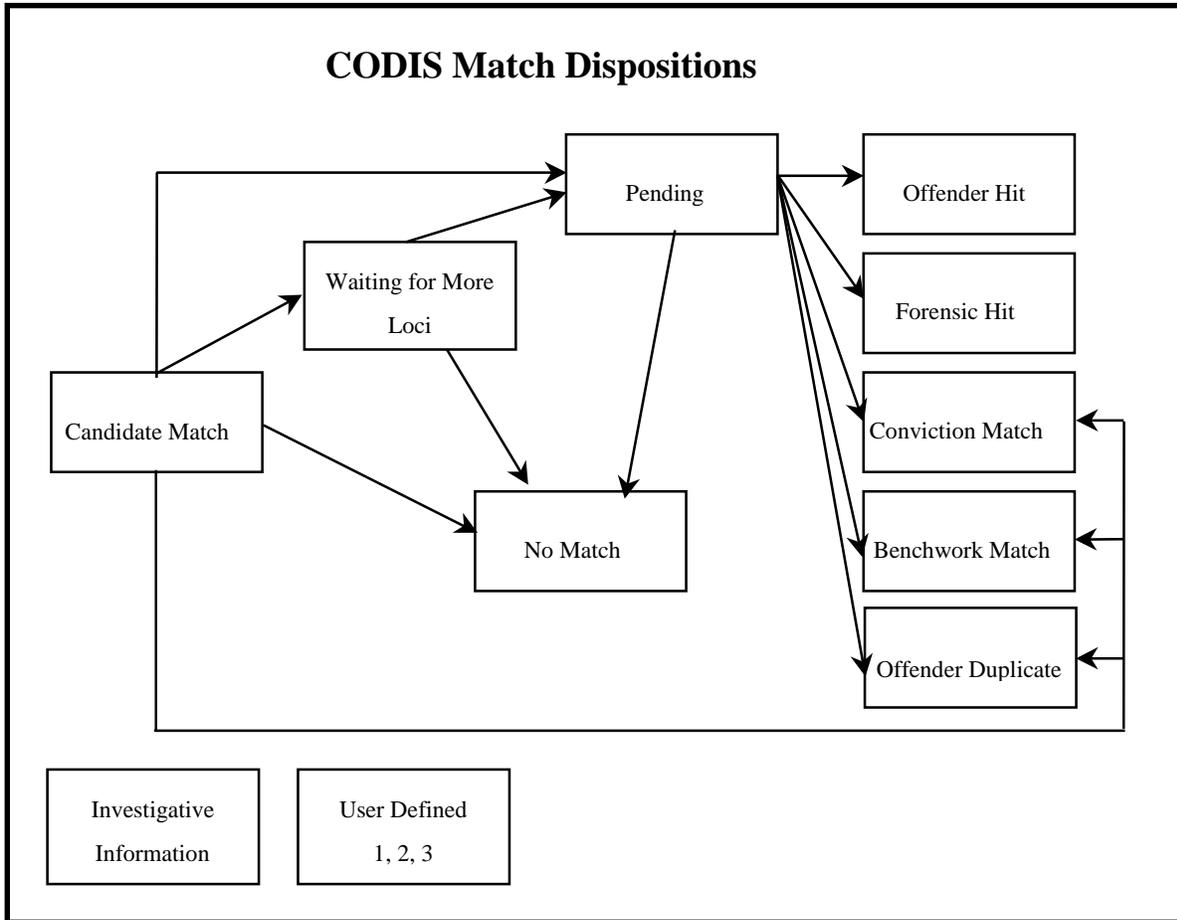
Date	FH	OH	IA	OH_n(1)	OH_n(2)	FH_n	IA_n
Total							

- FH** Forensic Hit made by searching your SDIS database. (One hit can link multiple cases within the State.)
- OH** Offender Hit made by searching your SDIS database. (One hit can link multiple offenders and cases)
- IA** Investigations Aided in the State by an SDIS or NDIS hit.
- OH_n(1)** Offender Hit made at NDIS that matched one or more cases from your laboratory.
- OH_n(2)** Offender Hit made at NDIS linking an offender from your State to one or more cases in other states.
- FH_n** Forensic Hit made at NDIS linking a casework sample from your State to one or more cases in other states.
- IA_n** Cases belonging to other laboratories in the country (outside of your State) that were linked to one or more cases from your State through an NDIS hit.

Appendix B: CODIS Match Dispositions

CODIS MATCH DISPOSITIONS

Following is a list of CODIS Match Dispositions, and how they are interrelated.



Disposition	Description
Candidate Match	A possible match between two or more DNA profiles discovered by CODIS software (AutoSearcher, Searcher, or Batch Search). Candidate Matches must be confirmed or refuted by qualified DNA analysts. If profiles from multiple laboratories are included in a Candidate Match, a qualified DNA analyst from each laboratory must participate in the confirmation process.

	<p>The Searcher family of programs is capable of generating many candidate matches, depending on the configuration of stringency, match window, equivalent alleles, number of missing loci, etc.</p>
Waiting For More Loci	<p>Waiting for More Loci is an intermediate step, indicating that the match is undergoing confirmation by at least one qualified DNA analyst (see <i>NDIS Operational Procedures, Confirm an Interstate Candidate Match</i>).</p> <p>The qualified DNA analyst confirming the Candidate Match has determined that one (or more) additional loci must be analyzed before the match can be confirmed or refuted. The Candidate Match enters the Waiting for More Loci step until the loci are completed.</p> <p>This situation is likely to occur with RFLP data because of changes to NDIS core loci requirements for Convicted Offenders. Before January 1, 1997, the NDIS core loci for convicted offender RFLP data were D2S44, D4S139, and D10S28. On January 1, 1997, this requirement was expanded to include D5S110. However, D5S110 was not required for profiles generated before January 1, 1997. Because many convicted offender profiles produced before this date have only three loci, the NDIS procedure <i>Confirm an Interstate Candidate Match</i>, requires the laboratory to run D5S110 as one of the first steps in the confirmation process.</p>
Pending	<p>Pending is also an intermediate step, indicating that the Candidate Match is being confirmed by at least one qualified DNA analyst (see <i>NDIS Operational Procedures, Confirm an Interstate Candidate Match</i>).</p> <p>Based on an initial review of the match report, one (or more) qualified DNA analyst(s) has determined that the match requires confirmation. The Candidate Match enters the Pending step until the qualified DNA analyst(s) completes the confirmation process and either declares or refutes the Pending match.</p> <p>The confirmation process may include many activities – from pulling an offender sample from the freezer to verifying sizing results. All such activities are considered Pending.</p>
Offender Hit	<p>An Offender Hit (OH) occurs when one or more forensic samples are linked to a convicted offender sample at SDIS or NDIS. Offender Hits are sometimes called case-to-offender hits. Cold and warm hits are counted as Offender Hits. Note: states permitted to have “suspect” indexes should classify hits</p>

	against this index as Offender Hits.
Forensic Hit	A Forensic Hit (FH) occurs when two or more forensic samples are linked at LDIS, SDIS, or NDIS. Forensic Hits are sometimes called case-to-case hits. Cold and warm hits are counted as Forensic Hits.
The difference between cold and warm hits	In a cold hit, there is no prior indication that the DNA profiles are related. Cold hits add value by linking cases that are previously unlinked, or by providing investigators with the identity of a known convicted offender. In a warm hit, investigators have a hunch that there may be a match in CODIS. A typical example of a warm hit is when several cases or offenders are searched with the suspicion that two or more match. Warm hits add value by reducing the investigative resources that would otherwise be required to link the cases.
Conviction Match	<p>A Conviction Match occurs when CODIS matches a DNA profile developed from crime scene evidence to a DNA profile from a convicted offender, but the crime from which the evidence was collected has already been solved and linked with the offender.</p> <p>For <i>intrastate</i> matches, a Conviction Match is usually between the convicted offender’s DNA profile and the evidence used to convict him/her.</p> <p>For <i>interstate</i> matches, a Conviction Match usually indicates that the perpetrator has been convicted of a different crime in another State. This is not an Offender Hit, because the information is most likely already captured in the States’ criminal history record system.</p> <p>In some instances, a Conviction Match can be determined directly from reviewing the Candidate Match; the Pending and Wait for More Loci steps can be skipped.</p> <p>In a sense, Conviction Matches are a form of blind external testing –the offender ought to match the evidence for which s/he was convicted.</p>
Benchmark Match	A Benchmark Match is like a Conviction Match, except it applies only to the Forensic index. Benchmark Matches occur when profiles from several cases linked external to CODIS (i.e., the examiner links the cases by matching DNA profiles on the workbench) are also matched subsequently by CODIS.
Offender Duplicate	An Offender Duplicate indicates that two convicted offender profiles match. Offender Duplicates occur when the Offender

	<p>index is searched against itself.</p> <p>While an Offender Duplicate match does not provide probative information, it is a form of blind testing. Offender Duplicates also provide insight into the efficacy of the sample collection and analysis infrastructure.</p>
No Match	<p>During the confirmation process, a qualified DNA analyst determines that a Candidate, Pending, or Waiting for More Loci Match is not a true DNA match.</p>
User Defined #1 User Defined #2 User Defined #3	<p>The User Defined dispositions exist for the convenience of state and local laboratories. For example, they can be used to further refine the Pending disposition.</p>
Investigative Information	<p>The Investigative Information disposition is a cross between a No Match and a Warm Match. Consider the following scenario: a police officer develops a suspect in a violent crime and has the suspect's profile searched in CODIS. The suspect's profile does not match any other profiles in CODIS. Although the search is a No Match, it does provide probative information. Based on the suspect being excluded by the CODIS search, the investigating agency can redeploy resources to other suspects/leads.</p> <p>The Investigative Information disposition will usually be set from the Searcher program.</p>

APPENDIX H

List of SPOCs

Single Point of Contact

Arizona

Joni Saad
Arizona State Clearinghouse
3800 North Central Avenue,
14th Floor
Phoenix, AZ 85012
Phone: (602) 280-1315
Fax: (602) 280-8144

Arkansas

Mr. Tracy L. Copeland
Manager
State Clearinghouse
Office of Intergovernmental Services
Department of Finance and Administration
1515 West 7th Street, Room 412
Little Rock, AR 72201
Phone: (501) 682-1074
Fax: (501) 682-5206

California

Grants Coordinator
Office of Planning & Research
1400 10th Street, Room 121
Sacramento, CA 95814
Phone: (916) 323-7480
Fax: (916) 323-3018

Delaware

Francine Booth
State Single Point of Contact
Executive Department
Thomas Collins Building
P.O. Box 1401
Dover, DE 19903
Phone: (302) 739-3326
Fax: (302) 739-5661

District of Columbia

Charles Nichols
State Single Point of Contact
Office of Grants Management &
Development
717 14th Street, N.W., Suite 500
Washington, D.C. 20005
Phone: (202) 727-6554
Fax: (202) 727-1617

Florida

Florida State Clearinghouse
Department of Community Affairs
2740 Centerview Drive
Tallahassee, FL 32399-2100
Phone: (904) 922-5438
Fax: (904) 487-2899

Georgia

Tom L. Reid, III
Administrator
Georgia State Clearinghouse
254 Washington Street S.W.
Room 401J
Atlanta, GA 30334
Phone: (404) 656-3855/3829
Fax: (404) 656-7937

Illinois

Virginia Bova
State Single Point of Contact
Illinois Department of Commerce and
Community Affairs
James R. Thompson Center
100 West Randolph Street
Suite 3-400
Chicago, IL 60601
Phone: (312) 814-6028
Fax: (312) 814-1800

Indiana

Amy Brewer
State Budget Agency
212 State House
Indianapolis, IN 46204
Phone: (317) 232-5619
Fax: (317) 232-3323

Iowa

Steven R. McCann
Division for Community Assistance
Iowa Department of Economic Development
200 East Grand Avenue
Des Moines, IA 50309
Phone: (515) 242-4719
Fax: (515) 242-4859

Kentucky

Ronald W. Cook
Office of the Governor
Department of Local Government
1024 Capitol Center Drive
Frankfort, KY 40601-8204
Phone: (502) 573-2382
Fax: (502) 573-2512

Maine

Joyce Benson
State Planning Office
State House Station #38
Augusta, ME 04333
Phone: (207) 287-3261
Fax: (207) 287-6489

Maryland

William G. Carroll
Manager, State Clearinghouse for
Intergovernmental Assistance
Maryland Office of Planning
301 West Preston Street
Room 1104

Baltimore, MD 21201-2365
Phone: (410) 767-4490
Fax: (410) 767-4480

Michigan

Richard Pfaff
Southeast Michigan Council of
Governments
1900 Edison Plaza
660 Plaza Drive
Detroit, MI 48226
Phone: (313) 961-4266
Fax: (313) 961-4869

Mississippi

Cathy Mallette
Clearinghouse Officer
Department of Finance and Administration
455 North Lamar Street
Jackson, MS 39202-3087
Phone: (601) 359-6762
Fax: (601) 359-6764

Missouri

Lois Pohl
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Truman State Office Building
Room 760
Jefferson City, MO 65102
Phone: (573) 751-4834
Fax: (573) 751-7819

Nevada

Department of Administration
State Clearinghouse
Capitol Complex
Carson City, NV 89710
Phone: (702) 687-4065
Fax: (702) 687-3983

New Hampshire

Jeffrey H. Taylor

Director

New Hampshire Office of State Planning

Attn: Intergovernmental Review Process

Mike Blake

2 1/2 Beacon Street

Concord, NH 03301

Phone: (603) 271-2155

Fax: (603) 271-1728

New Mexico

Robert Peters

State Budget Division

Bataan Memorial Building

Room 190

Santa Fe, NM 87503

Phone: (505) 827-3640

New York

New York State Clearinghouse

Division of the Budget

State Capitol

Albany, NY 12224

Phone: (518) 474-1605

North Carolina

Chrys Baggett

Director

North Carolina State Clearinghouse

Office of the Secretary of Administration

116 West Jones Street

Raleigh, NC 27603-8003

Phone: (919) 733-7232

Fax: (919) 733-9571

North Dakota

North Dakota Single Point of Contact

Office of Intergovernmental Assistance

600 East Boulevard Avenue

Bismarck, ND 58505-0170

Phone: (701) 224-2094

Fax: (701) 224-2308

Ohio

Larry Weaver

State Single Point of Contact

State Clearinghouse

Office of Budget and Management

30 East Broad Street, 34th Floor

Columbus, OH 43266-0411

Please direct correspondence and questions about intergovernmental review to:

Linda Wise

Phone: (614) 466-0698

Fax: (614) 466-5400

Rhode Island

Daniel W. Varin

Associate Director

Department of Administration

Division of Planning

One Capitol Hill, 4th Floor

Providence, RI 02908-5870

Phone: (401) 277-2656

Fax: (401) 277-2083

Please direct correspondence and questions to: Review Coordinator
Office of Strategic Planning

South Carolina

Omeagia Burgess

State Single Point of Contact

Grant Services

Office of the Governor

1205 Pendleton Street, Room 477

Columbia, SC 29201

Phone: (803) 734-0494

Fax: (803) 734-0385

Texas

Tom Adams
Governor's Office
Director of Intergovernmental Coordination
P.O. Box 12428
Austin, TX 78711
Phone: (512) 463-1771
Fax: (512) 463-1888

Utah

Carolyn Wright
Utah State Clearinghouse
Office of Planning and Budget
State Capitol Building, Room 116
Salt Lake City, UT 84114
Phone: (801) 538-1535
Fax: (801) 538-1547

West Virginia

Fred Cutlip
Director
Community Development Division
West Virginia Development Office
Building #6, Room 553
Charleston, WV 25305
Phone: (304) 558-4010
Fax: (304) 558-3248

Wisconsin

Martha Kerner
Section Chief
State/Federal Relations
Wisconsin Department of Administration
101 East Wilson Street, 6th Floor
P.O. Box 7868
Madison, WI 53707
Phone: (608) 266-2125
Fax: (608) 267-6931

Wyoming

Sheryl Jeffries
State Single Point of Contact
Office of the Governor
State Capitol, Room 124
Cheyenne, WY 82002
Phone: (307) 777-5930
Fax: (307) 632-3909

Territories

Commonwealth of the Northern Mariana
Islands
Mr. Alvaro A. Santos
Executive Officer
Office of Management and Budget
Office of the Governor
Saipan, MP 96950
Phone: (011) (670) 664-2256
Fax: (011) (670) 664-2272

Contact: Ms. Jacoba T. Seman
Federal Programs Coordinator
Phone: (011) (670) 664-2289
Fax: (011) (670) 664-2272

Guam

Mr. Giovanni T. Sgambelluri
Director
Bureau of Budget and Management
Research
Office of the Governor
P.O. Box 2950
Agana, GU 96910
Phone: (011) (671) 472-2285
Fax: (011) (671) 472-2825

Puerto Rico

Norma Burgos/Jose E. Caro
Chairwoman/Director
Puerto Rico Planning Board
Federal Proposals Review Office
Minillas Government Center

P.O. Box 4119
San Juan, PR 00940-1119

Phone: (787) 727-4444 or
(787) 723-6190
Fax: (787) 724-3270/3103

Virgin Islands

Jose George
Director
Office of Management and Budget
#41 Norregade Emancipation Garden
Station, 2nd Floor
St. Thomas, VI 00802

Please direct all questions and
correspondence about intergovernmental
review to:

Linda Clarke
Phone: (809) 774-0750
Fax: (809) 776-0069

APPENDIX I

State Byrne Grant Offices

State Offices Administering the Edward Byrne Memorial State and Local
Law Enforcement Assistance Formula Grant Program

Alabama

Luke Marshall
Section Chief
Law Enforcement/Traffic Safety Division
Department of Economic and Community
Affairs
401 Adams Avenue
P.O. Box 5690
Montgomery, AL 36103-5690

Contact: Jim Quinn
Phone: (334) 242-5811
Fax: (334) 242-0712

Alaska

Colonel Glenn Godfrey
Director
Alaska State Troopers
5700 East Tudor Road
Anchorage, AK 99507

Contact: Catherine Katsel
Phone: (907) 269-5082
Fax: (907) 337-2059
pckatsel@psafety.state.ak.us

Arizona

Rex M. Holgerson
Executive Director
Arizona Criminal Justice Commission
1501 West Washington Street
Suite 207
Phoenix, AZ 85007

Contact: Joseph R. Farmer
Phone: (602) 542-1928
Fax: (602) 542-4852
acjc@goodnet.com (notify before sending)

Arkansas

Jerry Duran
Administrator
Office of Intergovernmental Services
Department of Finance and Administration
1515 West 7th Street, Suite 417
Little Rock, AR 72201

Contact: Gordon Burton
Phone: (501) 682-1074
Fax: (501) 682-5206

California

Ray Johnson
Executive Director
Office of Criminal Justice Planning
1130 K Street, Suite 300
Sacramento, CA 95814

Contact: JoAnne McLevis
Phone: (916) 324-9163
Fax: (916) 327-8714
Pager: (916) 590-0916

Colorado

Bill Woodward
Director
Division of Criminal Justice
700 Kipling Street, 3rd Floor
Denver, CO 80215

Contact: John Inmann
Phone: (303) 239-4442
Fax: (303) 239-4491
jinmann@aol.com

Connecticut

Leonard F. D'Amico
Under Secretary
Office of Policy and Management
450 Capitol Avenue, MS #52CPD
P.O. Box 341441
Hartford, CT 06134-1441

Contact: Jack Bates
Phone: (860) 418-6210
Fax: (860) 418-6496

Delaware

James Kane
Executive Director
Criminal Justice Council
Carvel State Office Building
820 North French Street, 4th Floor
Wilmington, DE 19801

Contact: Tricia Peraino
Phone: (302) 577-3433
Fax: (302) 577-3440

District of Columbia

Sandra M. Manning
Director
Office of Grants Management and
Development

717 14th Street, N.W., Suite 500
Washington, D.C. 20005

Contact: Tanya Hatton
Phone: (202) 727-6537
Fax: (202) 727-1617

Florida

Rosa M. Morgan
Chief
Department of Community Affairs

2555 Shumard Oak Boulevard
Tallahassee, FL 32399

Contact: Clayton Wilder
Phone: (850) 488-8016
Fax: (850) 487-4414

Georgia

Martha Gilland
Director
Criminal Justice Coordinating Council
503 Oak Place, Suite 540
Atlanta, GA 30349

Contact: John T. Clower
Phone: (404) 559-4949
Fax: (404) 559-4960

Hawaii

The Honorable Margery S. Bronster
Attorney General
State of Hawaii
425 Queen Street, Room 221
Honolulu, HI 96813

Contact: Lari Koga
Phone: (808) 586-1151
Fax: (808) 586-1373

Idaho

Robert L. Sobba
Director
Idaho Department of Law Enforcement
P.O. Box 700
Meridian, ID 83680-0700

Contact: Roberta Silva
Phone: (208) 884-7040
Fax: (208) 884-7094
rsilva@dle.state.id.us

Illinois

Candice M. Kane
Acting Executive Director
Illinois Criminal Justice Information
Authority
120 South Riverside Plaza, Suite 1016
Chicago, IL 60606

Contact: Candice M. Kane
Phone: (312) 793-8550
Fax: (312) 793-8422

Indiana

Catherine O'Connor
Executive Director
Indiana Criminal Justice Institute
302 West Washington Street
Room E-209
Indianapolis, IN 46204

Contact: Doug Fowler
Phone: (317) 232-1230
Fax: (317) 232-4979

Iowa

Charles W. Larson
Coordinator
Governor's Alliance on Substance Abuse
Lucas State Office Building, 2nd Floor
Des Moines, IA 50319

Contact: Dale R. Woolery

Phone: (515) 281-3788
Fax: (515) 242-6390

Kansas

Barbara Tombs
Executive Director
Kansas Criminal Justice Coordinating
Council

700 S.W. Jackson Street
Room 501
Topeka, KS 66603

Contact: Ronald McVeigh
Phone: (913) 296-0926
Fax: (913) 296-0927
rmcveigh@wwi.net

Kentucky

E. Daniel Cherry
Acting Secretary
Justice Cabinet
Bush Building
403 Wapping Street, 2nd Floor
Frankfort, KY 40601

Contact: Debra McGovern
Phone: (502) 564-7554
Fax: (502) 564-4840

Louisiana

Michael Ranatza
Executive Director
Louisiana Commission on Law Enforcement
1885 Wooddale Boulevard
Suite 708
Baton Rouge, LA 70806

Contact: Debbie Maggio
Phone: (504) 925-3513
Fax: (504) 925-1998

Maine

Alfred Skolfield, Jr.
Commissioner
Department of Public Safety
State House Station #42
Augusta, ME 04333

Contact: David Giampetruzzi
Maine Department of Public Safety
Justice Assistance Council
State House Station #164
Augusta, ME 04333-0164
Phone: (207) 877-8016
(207) 624-8758 (contact)
Fax: (207) 624-8768

Maryland

Michael A. Sarbanes
Executive Director
Governor's Office of Crime Control and
Prevention
300 East Joppa Road, Suite 1105
Baltimore, MD 21286-3016

Contact: Greg Leyko
Phone: (410) 321-3521
Fax: (410) 321-3116
www.bsos.umd.edu/cesar/goccp.html

Massachusetts

Richard St. Louis
Acting Executive Director
Massachusetts Committee on Criminal
Justice
100 Cambridge Street
Room 2100
Boston, MA 02202

Contact: Susan Foster
Phone: (617) 727-6300
Fax: (617) 727-5356
Fax: (617) 727-4764 (R. St. Louis)
Sfoster_EIOS@State.Mass.US

Michigan

Darnell Jackson
Director
Office of Drug Control Policy
Michigan National Tower

124 West Allegan Street, Suite 1200
Lansing, MI 48913

Contact: Ardith DaFoe
Phone: (517) 373-2952
Fax: (517) 373-2963

Minnesota

Mary Ellison
State Administrator
Minnesota Department of Children, Families
and Learning
Office of Drug Policy and Violence
Prevention
550 Cedar Street, Suite 409
St. Paul, MN 55101

Contact: Jeri Boisvert
Phone: (612) 296-0922
Fax: (612) 297-7313 (ODP)

Mississippi

Ron Sennett
Interim Director
Division of Public Safety Planning
Department of Public Safety
401 North West Street, 8th Floor
P.O. Box 23039
Jackson, MS 39225-3039

Contact: Joyce Word
Phone: (601) 359-7880
Fax: (601) 359-7832

Missouri

Gary B. Kempker
Director
Missouri Department of Public Safety
Truman State Office Building
Room 870
P.O. Box 749
Jefferson City, MO 65102-0749

Contact: Kenneth Hogans
Phone: (573) 751-4905
Fax: (573) 751-5399

Montana

Gene Kiser
Executive Director
Montana Board of Crime Control
303 North Roberts
Scott Hart Building
Helena, MT 59620

Contact: Cathy Kendall
Phone: (406) 444-3604
Fax: (406) 444-4722

Nebraska

Allen L. Curtis
Executive Director
Nebraska Commission on Law Enforcement
& Criminal Justice
301 Centennial Mall South
P.O. Box 94946
Lincoln, NE 68509

Contact: Nancy Steeves
Phone: (402) 471-3416
Fax: (402) 471-2837

Nevada

Ray Sparks
Acting Director
Department of Motor Vehicles and Public
Safety
555 Wright Way
Carson City, NV 89711-0900

Contact: Mary Lynne Evans
Office of Criminal Justice Assistance
Phone: (702) 687-5282
Fax: (702) 687-5328

New Hampshire

Mark C. Thompson
Director of Administration
Office of the Attorney General
33 Capitol Street
Concord, NH 03301

Contact: Paul Doran
Phone: (603) 271-1297
Fax: (603) 271-2110

New Jersey

Terrence P. Farley
Director
Division of Criminal Justice
Department of Law and Public Safety
25 Market Street
CN 085
Trenton, NJ 08625-0085

Contact: Dennis O'Hara
Phone: (609) 292-5939
Fax: (609) 292-1451

New Mexico

Darren P. White
Cabinet Secretary
Department of Public Safety
P.O. Box 1628
Santa Fe, NM 87504

Contact: Donna Farrell
Phone: (505) 827-3420
Fax: (505) 827-3398
dfarrell@dps.state.nm.us

New York

Paul Shechtman
Commissioner
New York State Division of Criminal Justice
Services

Executive Park Tower
Stuyvesant Plaza
Albany, NY 12203-3764

Contact: Gary Schreivogl
Phone: (518) 457-8462
Fax: (518) 457-1186

North Carolina

Mr. Robin L. Lubitz
Director
Governor's Crime Commission
3824 Barrett Drive, Suite 100
Raleigh, NC 27609

Contact: Beth Workman
Phone: (919) 571-4736
Fax: (919) 571-4745

North Dakota

William Broer, Jr.
Director
Bureau of Criminal Investigation
Attorney General's Office
P.O. Box 1054
Bismarck, ND 58502

Contact: Tammy Becker
Phone: (701) 328-5500
Fax: (701) 328-5510
FedEx address:
4205 North State Street
Bismarck, ND 58501
msmail.TBecker@ranch.state.nd.us

Ohio

Michael Lee
Director
Governor's Office of Criminal Justice
Services
400 East Town Street, Suite 120
Columbus, OH 43215

Contact: Adrian Sargent
Phone: (614) 466-7782
Fax: (614) 466-0308
sargent@ocjs.state.oh.us

Oklahoma

Suzanne McClain Atwood
Executive Coordinator
District Attorneys Training & Coordination
Council
2200 Classen Boulevard
Suite 1800
Oklahoma City, OK 73106-5811

Contact Gayle Caldwell
Phone: (405) 557-6707
Fax: (405) 524-0581

Oregon

Beverlee Venell
Acting Director
Oregon Department of State Police
Criminal Justice Services Division
400 Public Service Building
Salem, OR 97310

Contact: Beverlee Venell
Phone: (503) 378-3720
Fax: (503) 378-6993

Pennsylvania

James Thomas
Executive Director
Pennsylvania Commission on Crime and
Delinquency
P.O. Box 1167
Federal Square Station
Harrisburg, PA 17108-1167

Contact: Bob Donovan
Phone: (717) 787-8559 ext. 3064

Fax: (717) 783-7713
Donovan@pccd.state.pa.us

Rhode Island

Joseph E. Smith
Executive Director
Governor's Justice Commission
One Capitol Hill, 4th Floor
Providence, RI 02908-5803

Contact: David LeDoux
Phone: (401) 277-2620
Fax: (401) 277-1294

South Carolina

Sandy Gibson
Interim Administrator
Office of Safety and Grants
Department of Public Safety
5400 Broad River Road
Columbia, SC 29210-4088

Contact: Ginger Dukes
Phone: (803) 896-8707
Fax: (803) 896-8714
lan@mail06.scdps.state.sc.us (contact)
cgi@mail06.scdps.state.sc.us (S. Gibson)

South Dakota

James D. Hagen
Chief of Staff
Attorney General's Task Force on Drugs
State Capitol Building
500 East Capitol Avenue
Pierre, SD 57501-5070

Contact: Wanda L. Fergen
Phone: (605) 773-6313
Fax: (605) 773-6471

Tennessee

Patricia B. Dishman
Director
Office of Criminal Justice Programs

Department of Finance and Administration
1400 Andrew Jackson Building
500 Deaderick Street
Nashville, TN 37243-1700

Contact: Jeanne Norris
Phone: (615) 532-2986
Fax: (615) 532-2989

Texas

Nancy S. Hugon
Acting Executive Director
Criminal Justice Division
Office of the Governor
P.O. Box 12428
Capitol Station
Austin, TX 78711

Contact: Robert J. Bodisch, Sr.
Phone: (512) 463-1806
Fax: (512) 475-2440

Utah

S. Camille Anthony
Executive Director
Commission on Criminal and Juvenile
Justice
State Capitol Building
Room 101
Salt Lake City, UT 84114

Contact: Laura Lewis
Phone: (801) 538-1031
Fax: (801) 538-1024

Vermont

James Walton, Jr.
Commissioner
Vermont Department of Public Safety
Waterbury State Complex
103 South Main Street
Waterbury, VT 05676-0850

Contact: Capt. Donald Ravenna
Phone: (802) 244-8781
Fax: (802) 244-1106

Virginia

Bruce C. Morris
Director
Department of Criminal Justice Services
805 East Broad Street, 10th Floor
Richmond, VA 23219

Contact: Joe Marshall
Phone: (804) 786-1577
Fax: (804) 371-8981

Washington

Katherine Krieter
Assistant Director
Washington State Department of
Community, Trade & Economic
Development
906 Columbia Street S.W.
P.O. Box 48300
Olympia, WA 98504

Contact: Paul Perz
Phone: (360) 586-8411
Fax: (360) 586-0489
paulp@cted.wa.gov

West Virginia

James M. Albert
Director
Office of Criminal Justice & Highway
Safety
Department of Military Affairs & Public
Safety
1204 Kanawha Boulevard East
Charleston, WV 25301

Contact: Melissa Crawford
Phone: (304) 558-8814
Fax: (304) 558-0391

Wisconsin

Fred Falk
Executive Director
Wisconsin Office of Justice Assistance
222 State Street, 2nd Floor
Madison, WI 53702

Contact: Raymond J. Luick
Phone: (608) 266-7282
Fax: (608) 266-6676

Wyoming

Thomas J. Pagel
Director
Division of Criminal Investigation
316 West 22nd Street
Cheyenne, WY 82002

Contact: Sandra Mays
Phone: (307) 777-7181
Fax: (307) 777-7252

Territories

American Samoa
La'auli A. Filoiali'i
Director

Criminal Justice Planning Agency
American Samoa Government
Executive Office Building, 3rd Floor
Pago Pago, AS 96799

Contact: Craig Keener
Phone: (011) (684) 633-5221
Fax: (011) (684) 633-7894

Commonwealth of the Northern Mariana
Islands

Jack Ogumoro
Executive Director
Criminal Justice Planning Agency
Commonwealth of the Northern Mariana
Islands
Office of the Governor
Saipan, MP 96950

Contact: Jack Ogumoro
Phone: (011) (670) 664-4550
Fax: (011) (670) 664-4560
jack.ogumoro@saipan.com

Guam

Vincent P. Arriola
Director
Bureau of Planning
Governor's Office
P.O. Box 2950
Agana, GU 96910

Contact: Miki Leon Guerrero
Phone: (011) (671) 472-4201/4202
Fax: (011) (671) 477-1812

Puerto Rico

The Honorable Jos, A. Fuentes Agostini
Attorney General
Department of Justice
Commonwealth of Puerto Rico

P.O. Box 9020192
San Juan, PR 00902-0192

Contact: Luis M. Gonzalez-Javier
Phone: (787) 725-0335
Fax: (787) 725-6144

Virgin Islands

Ramon S. Davila
Police Commissioner/Drug Policy Advisor
Virgin Islands Law Enforcement Planning
Commission
8172 Sub Base, Suite 3
St. Thomas, VI 00802

Contact: Helene Smollett
Phone: (809) 774-6400
Fax: (809) 721-7280

APPENDIX J

*Model RFP for the Outsourcing of Convicted
Offender DNA Samples to Vendor Laboratories*

MODEL RFP

**Request for Proposal for the CODIS
STR Analysis of [Name of State]
Collected Convicted Offender DNA
Samples**

**APPLICATION DEADLINE:
[INSERT DATE]**

TABLE OF CONTENTS

I.	Background	1
II.	Request for Proposals	1
III.	Minimum and Technical Requirements	2
IV.	Restrictions and Limitations on Use of Funds	7
V.	Application Instructions and Requirements	7
VI.	Evaluation Criteria	8
VII.	Administrative Requirements	9
VIII.	Contract Provisions	11
IX.	Award Period	12
X.	Award Amount	12
XI.	Due Date	12

Appendices

- Appendix A - *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*
- Appendix B - *NDIS Standards for Acceptance of DNA Data*
- Appendix C - Relevant section of the DNA Identification Act of 1994
- Appendix D - Cost Proposal
- Appendix E - Model Format for Submission of Responses to this Proposal
- Appendix F - Common Message Format for CODIS
- Appendix G - Certified Statement of Compliance

Request for Proposal for the CODIS STR Analysis of [State Agency]’s Collected Convicted Offender DNA Samples

I. Background & Overview

At the request of the Attorney General, the National Commission on the Future of DNA Evidence was established in March 1998 to provide recommendations on the current and future use of DNA technology in the operation of the criminal justice system, from crime scene to jury. One of the specific objectives of the National Commission is to recommend appropriate funding areas to maintain or improve essential laboratory capabilities. In furtherance of that objective, a Laboratory Funding Issues Working group was empaneled.

In response to the Attorney General’s request for recommendations that could be implemented immediately, the Laboratory Funding Issues Working Group reported that there were substantial numbers of convicted offender DNA samples that had been collected by the states but had not yet been analyzed and entered into the State and national DNA databases. At the time of this recommendation, it was estimated that there were over 750,000 convicted offender DNA samples awaiting analysis in state forensic laboratories across the country.

It is anticipated that laboratories responding to this RFP will analyze the convicted offender samples in the STR technology for Amelogenin and all of the 13 CODIS core loci - **FGA, vWA, D3S1358, CSF1PO, TPOX, TH01, D18S51, D21S11, D8S1179, D7S820, D13S317, D5S818, and D16S539**. The objective of this solicitation is to select a laboratory to which [State Agency] can send their collected convicted offender DNA samples for analysis in a CODIS compatible format so that the resulting DNA profiles can be entered into the State and national DNA databases.

Laboratories responding to this RFP must certify their compliance with the DNA Identification Act of 1994, the FBI Director’s *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*, proficiency testing by an approved proficiency test provider and *NDIS Standards for Acceptance of DNA Data*. Additionally, the laboratory must be accredited by the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or possess a certification of compliance with DNA Advisory Board standards issued by the National Forensic Science Technology Center (NFSTC).

II. Request for Proposals

The [State Agency] seeks to select a laboratory to analyze its collected convicted offender DNA samples using the 13 CODIS core STR loci and Amelogenin.

1. [State Agency] will perform the quality assurance of the analyzed samples.
- Or**
2. [State Agency] will supply the selected laboratory with blind quality assurance samples that will be verified once returned.

For laboratories responding to this RFP, all minimum and technical requirements listed in Section III must be met in order to qualify.

The objective is to analyze [State Agency]'s convicted offender samples in a timely manner so that these convicted offender DNA profiles may be entered into State and national DNA databases to assist in the investigation of crimes involving biological evidence.

The award will be for an initial term of 12 months.

III. Minimum and Technical Requirements

A. Minimum Requirements - Laboratories shall satisfy the following minimum requirements in order to respond to this Solicitation.

1. **At the time of submission of the Laboratory's response to this RFP, the Laboratory shall have the capabilities/capacity in place to analyze and report back the results of the analysis of each batch of convicted offender samples to [state agency] within 30 days of receipt of the samples. The Laboratory shall provide a Certified Statement of Capabilities/Capacity attesting to the Laboratory's ability to report back results in the 30 day time period.**
2. The Laboratory shall perform the requested DNA analyses to satisfy or exceed current standards for quality assurance program for DNA analysis, issued by the Director of the Federal Bureau of Investigation pursuant to the DNA Identification Act of 1994 (Appendix C), entitled *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*; a copy of which is attached in Appendix A. **The Laboratory shall provide a certification that it shall perform the requested DNA analyses in accordance with the *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*.** Also, the laboratory shall be accredited by the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or have received a certificate of compliance with the DNA Advisory Board standards from the National Forensic Science Technology Center (NFSTC) at the time of submission of their response to this RFP..
3. The Laboratory shall participate in an external proficiency testing program from a test provider that has been approved by the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB). The Laboratory shall successfully complete the proficiency tests. **The Laboratory shall provide a Certified Statement of Compliance (see Appendix G) and attach the Laboratory's most recent proficiency test results as well as documentation of the Laboratory's successful completion of such tests.** Less than successful completion of the proficiency tests may be grounds for termination of the contract. The Laboratory should also include documentation of any failed proficiency tests regardless of time frame and the remediation that was done to resolve the issue.
4. The Laboratory and each analyst performing DNA analyses at the Laboratory shall undergo, at regular intervals not exceeding 180 days, external proficiency testing by a proficiency testing program that meets the standards

issued under section 210302 of the DNA Identification Act of 1994. **Copies of the most recent proficiency testing results for each analyst shall be provided with the response to this RFP.**

5. The Laboratory shall analyze all samples for Amelogenin and all of the 13 CODIS core loci - **FGA, vWA, D3S1358, CSF1PO, TPOX, THO1, D18S51, D21S11, D8S1179, D7S820, D13S317, D5S818, and D16S539** - in accordance with the Federal Bureau of Investigation's *NDIS Standards for Acceptance of DNA Data*; a copy of which is attached in Appendix B. **The Laboratory shall provide a certification that it shall perform the analyses for Amelogenin and all 13 CODIS core loci in accordance with the *NDIS Standards for Acceptance of DNA Data*.**
6. Upon request by *[State Agency]*, the Laboratory shall make its protocols and procedures for the STR analysis of the convicted offender samples as well as its validation documentation available for review and inspection.
7. The Laboratory shall permit an on-site visit or inspection of the Laboratory facility and records prior to award to verify compliance with all minimum requirements. *[State Agency]* reserves the right to conduct unannounced on-site visits throughout the award period to ensure continued compliance with all minimum and technical requirements.

B. Technical Requirements - The Laboratory shall respond to the RFP in accordance with the following technical requirements.

1. The Laboratory shall not subcontract the convicted offender samples submitted by the *[State Agency]* to any other laboratory.
2. The Laboratory shall supply all equipment and materials necessary to comply with the analysis of the convicted offender samples for Amelogenin and all the 13 CODIS core loci - **FGA, vWA, D3S1358, CSF1PO, TPOX, THO1, D18S51, D21S11, D8S1179, D7S820, D13S317, D5S818, and D16S539**. Convicted offender samples may be submitted by *[State Agency]* in the following formats:

[Choose sample type(s) applicable to your state]

- (A) whole blood in tubes that the Laboratory will be required to stain onto cotton fabric, 903 S&S paper, FTA paper or other preferred material;
- (B) dried blood samples on cotton fabric, 903 S&S paper or FTA paper;
- (C) buccal swabs.

The Laboratory may provide separate cost schedules in accordance with the various sample formats.

[Choose Kits/analytical platform for your state, if applicable]

3. The Laboratory shall only use approved STR analysis kits as specified in the *NDIS Standards for Acceptance of DNA Data*; a copy of which is attached in Appendix B. The Laboratory shall use the following analytical platform:

- (A) Perkin Elmer Applied Biosystems 310 Genetic Analyzer,
- (B) Perkin Elmer Applied Biosystems 377 Sequencer,
- (C) Perkin Elmer Applied Biosystems 3700 Genetic Analyzer,
- (D) Hitachi FMBIO II or Hitachi FMBIO 100.

The Laboratory shall identify in their response to the RFP the STR kits and the analytical platform that will be used in the analysis of the convicted offender samples.

- 4. The Laboratory shall be responsible for the shipping of samples to and from *[State Agency]* as well as the results of all the analyses. The method of shipping shall provide proper conditions to protect the integrity of the samples, safeguard the chain of custody, assure timeliness and provide the ability to track all shipments. The shipping method selected by the Laboratory shall be subject to the approval of the *[State Agency]*, which approval shall not be unreasonably withheld.
- 5. Chain of custody is of paramount concern to *[State Agency]*. The chain of custody for samples and the resulting data shall be documented to include sample receipt by the Laboratory, as well as processing, typing and returning convicted offender blood samples and resulting data back to *[State Agency]*. The Laboratory shall describe in their response to this RFP how such convicted offender samples and the resulting data will be processed and tracked in order to ensure a proper chain of custody.

[If Applicable to Your State)

- 6. The Laboratory acknowledges that the convicted offender samples, the results of a DNA analysis and the comparison of analytic results are made confidential by *[State Agency]*, and will treat such information with due care to prevent improper disclosure. Under many state laws, the unauthorized disclosure of DNA records or the results of a forensic DNA test or analysis and tampering or attempted tampering with a DNA sample are crimes. The Laboratory shall protect the confidentiality of all records and other materials that are maintained in accordance with this program. The Laboratory shall have written policies governing access to, duplication and dissemination of all such information. The Laboratory shall limit access to the convicted offender samples and analyses only to those employees requiring access for performance of this program and shall advise those employees of the strict confidentiality requirements relating to these convicted offender samples and analyses.
- 7. In the event a match is made between an unsolved casework DNA profile and one of the convicted offender samples analyzed by the Laboratory, the Laboratory agrees to provide testimony in subsequent legal actions, if needed. The Laboratory agrees that no future costs will be incurred by the *[State Agency]* such as travel, expert witness fees or duplication of data due to a subpoena by the prosecution or defense in a criminal case or other compelled appearance or production of records.

8. STR data shall be generated for Amelogenin and all of the 13 CODIS core loci - **FGA, vWA, D3S1358, CSF1PO, TPOX, TH01, D18S51, D21S11, D8S1179, D7S820, D13S317, D5S818, and D16S539.**
- (a) The analysis of a specimen shall not be considered complete until genotypes for Amelogenin and all 13 CODIS core loci have been generated and accepted by the submitting state.
 - (b) The genotypes shall be compiled in the common message format for insertion into the FBI's Combined DNA Index System (CODIS), a copy of which is attached as Appendix F, and transmitted in electronic form on CD-Rom or "ZIP" disks, at the discretion of *[State Agency]*. Please note that the common message format for CODIS is undergoing revision and that the laboratory shall be required to provide the genotypes in CODIS compatible format throughout the duration of their contract with *[State Agency]*. A new revised version of the common message format may be instituted no sooner than January 1, 2001 and laboratories should contact the FBI's CODIS Help Desk for the most recent common message format after January 1, 2001.
 - (c) All extraction, amplification, gel data sheets (including StaRcall spreadsheets, original gel scans and the final gray scale/color corrected gel images) and electropherogram data are to be returned to *[State Agency]*. All instrument data collection files and files generated in the analysis of the samples shall also be returned to the submitting state on CD-Rom or "ZIP" disks, at the discretion of the *[State Agency]*.
 - (d) All unused sample portions are to be returned to the *[State Agency]*. Excess DNA extract shall be stored frozen until such time that the Laboratory can return the samples to *[State Agency]*. Amplified DNA shall be retained at the Laboratory until appropriate quality assurance review has been completed by the *[State Agency]*. After such review, the amplified DNA shall be destroyed and certification of such destruction provided to the *[State Agency]*.
 - (e) Any quality control or quality assurance data, if not archived at the Laboratory, is to be returned to the *[State Agency]*.
 - (f) **Ownership of all data, materials and documentation originated and prepared for the *[State Agency]* pursuant to this program shall belong exclusively to the *[State Agency]*.**
 - (g) The cost of CD-ROM or "ZIP" disks and the shipping of such data shall be included by the Laboratory in the proposed cost per sample of completed analysis.

9. The Laboratory shall monitor analytical procedures by using appropriate controls and standards on each gel or run:
 - (a) A positive amplification human DNA control.
 - (b) Allelic ladders.
 - (c) A negative amplification control and reagent blank.
 - (d) In-lane size standard, as appropriate.

10. Analysis of a convicted offender DNA sample shall not be considered complete until the allele designations have been determined for Amelogenin and all of the 13 CODIS core loci. The laboratory will provide complete analysis for the *[State Agency]* and/or identify such complete analysis in a format acceptable to the *[State Agency]*. In other words, in instances in which the Laboratory chooses to reanalyze a sample, the Laboratory will either provide only the final accepted analysis to the *[State Agency]* or identify such correct and complete analysis so that the *[State Agency]* will not be reviewing incomplete or nonfinal analyses.
 - (a) Such allele designations shall be in the proper form for insertion into CODIS software.
 - (b) Ladders and controls shall yield acceptable results.

11. In the event that the analysis fails for a particular convicted offender sample, additional portions of that sample shall be provided to the Laboratory, whenever necessary.

12. The *[State Agency]* shall conduct quality control of the Laboratory's analyses by either retesting quality assurance samples within their laboratory or by submitting blind quality assurance samples to the laboratory and verifying the correct allele calls upon receiving the results. The number of these quality assurance samples shall not exceed 10% of the total submitted. If results of this retesting indicates a discrepancy, further submission and testing by the Laboratory shall be halted until resolution. The Laboratory shall not charge the *[State Agency]* with any additional expenses for any analysis or reanalysis necessary to resolve the discrepancy.

13. The Laboratory shall notify the *[State Agency]* of any problems in testing immediately upon discovery.

IV. Restrictions and Limitations on Use of Funds

The Funding provided under this program shall only be used for the STR analysis of convicted offender samples.

V. Application Instructions and Requirements

Each response to this RFP shall include the following information:

A. Introduction:

1. Brief corporate/business history: including general mission statement, number of employees, financial capacity and capabilities to successfully complete the services specified in this RFP and brief history of experience performing forensic DNA STR analyses, specifically involving convicted offender samples.
2. Designation of Prime Contact. Please provide the name, title, telephone number, facsimile number and E-mail address of a contact person(s) authorized to respond on behalf of the Laboratory.

B. Technical Proposal

1. This section shall describe the Laboratory's approach and plans for accomplishing the requirements specified in the RFP. An example of the format to be used in responding to this RFP is included in Appendix E. The Laboratory shall address all of the minimum and technical requirements, and include detailed plans for the Quality Assurance, Quality Control, Proficiency Testing, Chain of Custody and Confidentiality Procedures requirements.

The Laboratory shall include a description of their proposed Project Management as well as the organizational structure for the project and experience in performing similar projects. The Laboratory shall include their specific plans to manage, control and supervise the project in order to insure satisfactory program completion in accordance with the required turn around times. The Laboratory shall describe the individuals to be assigned to this program as well as the individual's function and role in the program and include their resumes which should emphasize relevant qualifications and experience in completing programs of a similar size and scope.

C. Reference Information:

References shall be contacted and are part of the evaluation criteria.

The Laboratory shall provide two references from companies or public agencies not affiliated with the Laboratory. At least one of these references, but preferably more, shall currently be using the Laboratory's services for STR analysis for identification purposes. Emphasis should be placed on projects that are very similar in size and scope to those required by this RFP in order to document the Laboratory's ability to complete the services required by this RFP. Please

provide the company/agency name, dates of service, address, a contact name, telephone number, facsimile number and E-mail address, if available.

D. Cost Proposal:

The Cost shall be provided on a per sample basis using the cost proposal sheet provided in Appendix D. Laboratories will be expected to hold prices firm for a minimum of ninety (90) days from submission of their response to this RFP in order that the evaluation can be conducted and award(s) made.

VI. Evaluation Criteria

All responses will be reviewed by a peer evaluation panel selected for their operational expertise as well as their knowledge in the substantive areas covered by this RFP. The evaluations will be based upon the following criteria, listed in rank order of importance:

*[State may wish to vary order, assign a value to each category
and/or include additional criteria]*

A. Quality Assurance

- Compliance with the FBI Director's *Quality Assurance Standards*;
- Successful Completion of Proficiency Testing Requirements;
- Appropriate Protocol for Troubleshooting;
- Compliance with all Minimum and Technical Requirements; and
- ASCLD/LAB accreditation or NFSTC certification

The on-site visit/inspection will be used to confirm use of the *Quality Assurance Standards*, proper documentation and compliance with the Minimum and Technical Requirements.

B. Sample Handling and Security

This category shall be evaluated on the chain of custody or sample inventory system used to track samples from receipt in the Laboratory to the return to the *[State Agency]*. Additionally, the measures taken to ensure confidentiality of the samples and analyses will be evaluated. The on-site visit/inspection will be used to confirm the procedures.

C. References/Current Capacity

This category shall be evaluated on reliability, testing accuracy, and customer satisfaction . At least one of these references, but preferably more, shall currently be using the Laboratory's services for the STR analysis of samples for identification purposes.

The on-site visit/ inspection will be used to confirm the Laboratory's current capabilities/capacity as well as contact with the references.

D. Cost (to be considered, if necessary)

Provision of required services, inclusive of:

- i) Personnel and fringe benefits;
- ii) Shipping/transportation of convicted offender samples to and from the *[State Agency]*;
- iii) Supplies necessary for the analysis of the samples, including reagents and STR kits;
- iv) Supplies necessary for the preparation and return of analysis results to the *[State Agency]*, including CD-ROMs and "ZIP" disks; and
- v) Management or other administrative overhead.

Cost shall be quoted per sample and on the proposal sheet provided in Appendix D.

VII. Administrative Requirements

A. Pre-Bid Conference

A Pre-Bid Conference may be held.

B. Submission Requirements:

1. All questions regarding this RFP prior to the Pre-Bid Conference shall be submitted in writing to *[State point of contact]*. **NO TELEPHONE INQUIRIES WILL BE ACCEPTED.** Written submissions can be mailed to: *[State Agency Address]*:

In the event that it becomes necessary to revise, modify, clarify or otherwise alter the RFP, revisions will be made in the form of addenda to this RFP. All addenda to the original RFP become part of this RFP and shall become part of the final award resulting from this RFP.

2. An original plus *X-number* of copies of the response to this RFP must be received by *[State Agency]* by the close of business on **[DATE]**. Extension of this deadline shall not be permitted. Responses to the RFP should be mailed to the following:
[State Agency Address]
Applications submitted via facsimile shall not be accepted.
3. The *[State Agency]* is not liable for any cost incurred by a Laboratory in preparation for or prior to the approval of a Laboratory for this program.
4. *[State Agency]* reserves the right to the following:

Amend the RFP specifications to correct errors or oversights, and to

supply additional information as it becomes available. All Laboratories who have received this RFP will be supplied with all addenda or additional information issued.

Make typographical corrections to responses to the RFP, with the concurrence of the Laboratory.

Request clarification and/or additional information from Laboratories responding to this RFP.

Change any of the scheduled dates stated herein with written notice to all Laboratories who have received this RFP.

Disqualify responses to this RFP that fail to meet minimum and technical requirements.

Select more than one Laboratory, if in the best interests of the *[State Agency]*, to provide sufficient capabilities to have the collected convicted offender samples analyzed.

Coordinate with the Laboratory(s) selected, if necessary, to modify the required turn around times.

5. Public announcements or news releases pertaining to the selection of the Laboratory for this program contract shall not be made without the prior written approval of the *[State Agency]*.

VIII. Contract Provisions

A. Mandatory Contract Provisions:

The [State Agency's] Counsel's Office will provide the provisions required for inclusion for state contracts. These contractual clauses shall not be subject to waiver.

1. Terms of Payment

To be supplied by [State Agency].

The *[State Agency]* reserves the right to have the samples re-analyzed to satisfy the minimum and technical standards, at no additional charge.

2. Confidentiality of Information

To be supplied by [State Agency].

3. Termination of the Agreement

To be supplied by [State Agency].

[State Agency] may terminate the award if the Laboratory is not able to fully comply within thirty (30) days after the agreed upon start date for services.

[State Agency] may terminate the award if the Laboratory is found to be in violation of any of the provisions of the DNA Identification Act of 1994, including compliance with the *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*, the proficiency testing requirements and the access and disclosure requirements.

[State Agency] may terminate the award based upon repeated and/or uncorrected unacceptable results by the Laboratory.

[State Agency] will provide thirty (30) days written notice to the Laboratory of their intent to terminate the award.

4. Substitution of Personnel

To be supplied by [State Agency].

Any substitution of personnel identified by the Laboratory in their response to this RFP shall be subject to the approval of the *[State Agency]*.

5. Damages for NONPERFORMANCE

To be supplied by [State Agency].

6. Notice

To be supplied by [State Agency].

IX. Award Period

Awards under this program are issued for a period of twelve months.

X. Award Amount

The actual award is based upon the evaluation of the responses received.

XI. Due Date

An original plus *[X-Number of Copies]* of fully executed responses must be received by the *[State Agency]* by the close of business on **[Insert Date]**.

APPENDIX A

Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories

See Appendix A Above

APPENDIX B

NDIS Standards for Acceptance of DNA Data

See Appendix B Above

APPENDIX C

*Selected Provisions from
the DNA Identification Act of 1994*

See Appendix C Above

APPENDIX D

Cost Proposal Sheet

COST PROPOSAL SHEET

For Laboratories Responding to STR Analysis for Databasing Purposes

Laboratories shall quote prices for each of the following quantities. If necessary, cost will be evaluated on the price per sample for quantities¹ of 1,000, 5,000, 10,000 samples over the term of the award.

Cost for 1,000 samples	_____	per sample
Cost for 3,000 samples	_____	per sample
Cost for 5,000 samples	_____	per sample
Cost for 10,000 samples	_____	per sample
Cost for 15,000 samples	_____	per sample
Cost for 25,000 samples	_____	per sample

Laboratories shall indicate the STR kits and analytical platform that will be used for the STR analysis indicated above. If the Laboratory offers a variety of STR kits and analytical platforms, please complete a separate COST PROPOSAL SHEET for each combination of STR kit and analytical platform.

STR Kit(s):

Analytical Platform:

¹The term quantities includes all the samples submitted for this RFP during the period of this award.

APPENDIX E

*Model Format
for
Submission of Responses to this RFP*

MODEL FORMAT
FOR RESPONSE TO RFP

TABLE OF CONTENTS

I.	Introduction	
A.	Corporate/Business History	
B.	Prime Contact	
II.	Technical Proposal	
A.	Minimum Requirements	
1.	Capacity Certification	
2.	<i>Quality Assurance Standards/Accreditation</i>	
3.	Proficiency Test Program	
4.	Proficiency Test Results for Each Analyst	
5.	<i>NDIS Standards for Acceptance of DNA Data</i>	
6.	Protocols & Procedures Available	
7.	Site Visit /Inspection of Laboratory	
B.	Technical Requirements	
1.	Subcontracting Prohibition	
2.	Form of Submissions	
3.	Approved STR Kits/ Analytical Platforms	
4.	Shipping Method Described	
5.	Chain of Custody (Processing & Tracking of Samples Described)	
6.	Laboratory Policies on Confidentiality	
7.	Agreement to Provide Testimony in Subsequent Legal Actions	
8.	Analysis and Resulting Data Provided to Submitting State	
9.	Required Controls & Standards	
10.	Analysis Considered Complete	
11.	As Necessary, Additional Samples Provided	
12.	Quality Assurance Samples	
13.	Notification of any Testing Problems	
C.	Project Management	
1.	Description of Project Management	
2.	Organizational Structure	
3.	Resumes	
III.	References	
A.	Reference #1	
B.	Reference #2	
IV.	Cost	
	Please use Cost Proposal Sheet(s) provided in Appendix D	
V.	Contract Provisions	
	Statement of Compliance	

APPENDIX F

Common Message Format For CODIS

See Appendix F Above

APPENDIX G

Certified Statement of Compliance

Certified Statement of Compliance with Proficiency Testing Requirements

I hereby certify that _____(Name of Company)
participates in an external proficiency testing program from a test provider that has been
approved by the American Society of Crime Laboratory Directors/Laboratory
Accreditation Board [ASCLD/LAB].

I further certify that all personnel performing DNA analysis have participated in an
ASCLD/LAB approved external proficiency testing program at regular intervals, not to
exceed every 180 days, and have performed successfully in such proficiency tests.

To demonstrate our laboratory's proficiency in DNA analysis, attached is a copy of the
most recent proficiency test results for the laboratory's and all personnel performing
DNA analysis.

It is further agreed that all personnel performing DNA analysis must continue to perform
successfully in the external proficiency testing program described above.

Name: _____

Title: _____

Company: _____

Address: _____

Date: _____

State Offices Administering the Edward Byrne Memorial State and Local
Law Enforcement Assistance Formula Grant Program

Alabama

Luke Marshall
Section Chief
Law Enforcement/Traffic Safety Division
Department of Economic and Community
Affairs
401 Adams Avenue
P.O. Box 5690
Montgomery, AL 36103-5690

Contact: Jim Quinn
Phone: (334) 242-5811
Fax: (334) 242-0712

Alaska

Colonel Glenn Godfrey
Director
Alaska State Troopers
5700 East Tudor Road
Anchorage, AK 99507

Contact: Catherine Katsel
Phone: (907) 269-5082
Fax: (907) 337-2059
pckatsel@psafety.state.ak.us

Arizona

Rex M. Holgerson
Executive Director
Arizona Criminal Justice Commission
1501 West Washington Street
Suite 207
Phoenix, AZ 85007

Contact: Joseph R. Farmer
Phone: (602) 542-1928
Fax: (602) 542-4852
acjc@goodnet.com (notify before sending)

Arkansas

Jerry Duran
Administrator
Office of Intergovernmental Services
Department of Finance and Administration
1515 West 7th Street, Suite 417
Little Rock, AR 72201

Contact: Gordon Burton
Phone: (501) 682-1074
Fax: (501) 682-5206

California

Ray Johnson
Executive Director
Office of Criminal Justice Planning
1130 K Street, Suite 300
Sacramento, CA 95814

Contact: JoAnne McLevis
Phone: (916) 324-9163
Fax: (916) 327-8714
Pager: (916) 590-0916

Colorado

Bill Woodward
Director
Division of Criminal Justice
700 Kipling Street, 3rd Floor
Denver, CO 80215

Contact: John Inmann
Phone: (303) 239-4442
Fax: (303) 239-4491
jinmann@aol.com

Connecticut

Leonard F. D'Amico
Under Secretary
Office of Policy and Management
450 Capitol Avenue, MS#52CPD
P.O. Box 341441
Hartford, CT 06134-1441

Contact: Jack Bates
Phone: (860) 418-6210
Fax: (860) 418-6496

Delaware

James Kane
Executive Director
Criminal Justice Council
Carvel State Office Building
820 North French Street, 4th Floor
Wilmington, DE 19801

Contact: Tricia Peraino
Phone: (302) 577-3433
Fax: (302) 577-3440

District of Columbia

Sandra M. Manning
Director
Office of Grants Management and
Development

717 14th Street, N.W., Suite 500
Washington, D.C. 20005

Contact: Tanya Hatton
Phone: (202) 727-6537
Fax: (202) 727-1617

Florida

Rosa M. Morgan
Chief
Department of Community Affairs

2555 Shumard Oak Boulevard
Tallahassee, FL 32399

Contact: Clayton Wilder
Phone: (850) 488-8016
Fax: (850) 487-4414

Georgia

Martha Gilland
Director
Criminal Justice Coordinating Council
503 Oak Place, Suite 540
Atlanta, GA 30349

Contact: John T. Clower
Phone: (404) 559-4949
Fax: (404) 559-4960

Hawaii

The Honorable Margery S. Bronster
Attorney General
State of Hawaii
425 Queen Street, Room 221
Honolulu, HI 96813

Contact: Lari Koga
Phone: (808) 586-1151
Fax: (808) 586-1373

Idaho

Robert L. Sobba
Director
Idaho Department of Law Enforcement
P.O. Box 700
Meridian, ID 83680-0700

Contact: Roberta Silva
Phone: (208) 884-7040
Fax: (208) 884-7094
rsilva@dle.state.id.us

Illinois

Candice M. Kane
Acting Executive Director
Illinois Criminal Justice Information
Authority
120 South Riverside Plaza, Suite 1016
Chicago, IL 60606

Contact: Candice M. Kane
Phone: (312) 793-8550
Fax: (312) 793-8422

Indiana

Catherine O'Connor
Executive Director
Indiana Criminal Justice Institute
302 West Washington Street
Room E-209
Indianapolis, IN 46204

Contact: Doug Fowler
Phone: (317) 232-1230
Fax: (317) 232-4979

Iowa

Charles W. Larson
Coordinator
Governor's Alliance on Substance Abuse
Lucas State Office Building, 2nd Floor
Des Moines, IA 50319

Contact: Dale R. Woolery

Phone: (515) 281-3788
Fax: (515) 242-6390

Kansas

Barbara Tombs
Executive Director
Kansas Criminal Justice Coordinating
Council

700 S. W. Jackson Street
Room 501
Topeka, KS 66603

Contact: Ronald McVeigh
Phone: (913) 296-0926
Fax: (913) 296-0927
rmcveigh@wwi.net

Kentucky

E. Daniel Cherry
Acting Secretary
Justice Cabinet
Bush Building
403 Wapping Street, 2nd Floor
Frankfort, KY 40601

Contact: Debra McGovern
Phone: (502) 564-7554
Fax: (502) 564-4840

Louisiana

Michael Ranatza
Executive Director
Louisiana Commission on Law Enforcement
1885 Wooddale Boulevard
Suite 708
Baton Rouge, LA 70806

Contact: Debbie Maggio
Phone: (504) 925-3513
Fax: (504) 925-1998

Maine

Alfred Skolfield, Jr.
Commissioner
Department of Public Safety
State House Station #42
Augusta, ME 04333

Contact: David Giampetruzzi

MaineDepartmentofPublicSafety
JusticeAssistanceCouncil
StateHouseStation#164
Augusta,ME04333-0164
Phone:(207)877-8016
(207)624-8758(contact)
Fax:(207)624-8768

Maryland

MichaelA.Sarbanes
ExecutiveDirector
Governor'sOfficeofCrimeControland
Prevention
300EastJoppaRoad,Suite1105
Baltimore,MD21286-3016

Contact:GregLeyko
Phone:(410)321-3521
Fax:(410)321-3116
www.bsos.umd.edu/cesar/goccp.html

Massachusetts

RichardSt.Louis
ActingExecutiveDirector
MassachusettsCommitteeonCriminal
Justice
100CambridgeStreet
Room2100
Boston,MA02202

Contact:SusanFoster
Phone:(617)727-6300
Fax:(617)727-5356
Fax:(617)727-4764(R.St.Louis)
Sfoster_EIOS@State.Mass.US

Michigan

DarnellJackson
Director
OfficeofDrugControlPolicy
MichiganNationalTower

124WestAlleganStreet,Suite1200
Lansing,MI48913

Contact:ArdithDaFoe
Phone:(517)373-2952
Fax:(517)373-2963

Minnesota

MaryEllison
StateAdministrator
MinnesotaDepartmentofChildren,Families
andLearning
OfficeofDrugPolicyandViolence
Prevention
550CedarStreet,Suite409
St.Paul,MN55101

Contact:JeriBoisvert
Phone:(612)296-0922
Fax:(612)297-7313(ODP)

Mississippi

RonSennett
InterimDirector
DivisionofPublicSafetyPlanning
DepartmentofPublicSafety
401NorthWestStreet,8thFloor
P.O.Box23039
Jackson,MS39225-3039

Contact:JoyceWord
Phone:(601)359-7880
Fax:(601)359-7832

Missouri

GaryB.Kempker
Director
MissouriDepartmentofPublicSafety
TrumanStateOfficeBuilding
Room870
P.O.Box749
JeffersonCity,MO65102-0749

Contact: Kenneth Hogans
Phone: (573)751-4905
Fax: (573)751-5399

Montana

Gene Kiser
Executive Director
Montana Board of Crime Control
303 North Roberts
Scott Hart Building
Helena, MT 59620

Contact: Cathy Kendall
Phone: (406)444-3604
Fax: (406)444-4722

Nebraska

Allen L. Curtis
Executive Director
Nebraska Commission on Law Enforcement
& Criminal Justice
301 Centennial Mall South
P.O. Box 94946
Lincoln, NE 68509

Contact: Nancy Steeves
Phone: (402)471-3416
Fax: (402)471-2837

Nevada

Ray Sparks
Acting Director
Department of Motor Vehicles and Public
Safety
555 Wright Way
Carson City, NV 89711-0900

Contact: Mary Lynne Evans
Office of Criminal Justice Assistance
Phone: (702)687-5282
Fax: (702)687-5328

New Hampshire

Mark C. Thompson
Director of Administration
Office of the Attorney General
33 Capitol Street
Concord, NH 03301

Contact: Paul Doran
Phone: (603)271-1297
Fax: (603)271-2110

New Jersey

Terrence P. Farley
Director
Division of Criminal Justice
Department of Law and Public Safety
25 Market Street
CN 085
Trenton, NJ 08625-0085

Contact: Dennis O'Hara
Phone: (609)292-5939
Fax: (609)292-1451

New Mexico

Darren P. White
Cabinet Secretary
Department of Public Safety
P.O. Box 1628
Santa Fe, NM 87504

Contact: Donna Farrell
Phone: (505)827-3420
Fax: (505)827-3398
dfarrell@dps.state.nm.us

New York

Paul Shechtman
Commissioner
New York State Division of Criminal Justice
Services

ExecutiveParkTower
StuyvesantPlaza
Albany, NY 12203-3764

Contact: Gary Schreivogl
Phone: (518) 457-8462
Fax: (518) 457-1186

North Carolina

Mr. Robin L. Lubitz
Director
Governor's Crime Commission
3824 Barrett Drive, Suite 100
Raleigh, NC 27609

Contact: Beth Workman
Phone: (919) 571-4736
Fax: (919) 571-4745

North Dakota

William Broer, Jr.
Director
Bureau of Criminal Investigation
Attorney General's Office
P.O. Box 1054
Bismarck, ND 58502

Contact: Tammy Becker
Phone: (701) 328-5500
Fax: (701) 328-5510
FedEx address:
4205 North State Street
Bismarck, ND 58501
msmail.TBecker@ranch.state.nd.us

Ohio

Michael Lee
Director
Governor's Office of Criminal Justice
Services
400 East Town Street, Suite 120
Columbus, OH 43215

Contact: Adrian Sargent
Phone: (614) 466-7782
Fax: (614) 466-0308
sargent@ocjs.state.oh.us

Oklahoma

Suzanne McClain Atwood
Executive Coordinator
District Attorneys Training & Coordination
Council
2200 Classen Boulevard
Suite 1800
Oklahoma City, OK 73106-5811

Contact: Gayle Caldwell
Phone: (405) 557-6707
Fax: (405) 524-0581

Oregon

Beverlee Venell
Acting Director
Oregon Department of State Police
Criminal Justice Services Division
400 Public Service Building
Salem, OR 97310

Contact: Beverlee Venell
Phone: (503) 378-3720
Fax: (503) 378-6993

Pennsylvania

James Thomas
Executive Director
Pennsylvania Commission on Crime and
Delinquency
P.O. Box 1167
Federal Square Station
Harrisburg, PA 17108-1167

Contact: Bob Donovan
Phone: (717) 787-8559 ext. 3064

Fax:(717)783-7713
Donovan@pccd.state.pa.us

RhodeIsland

JosephE.Smith
ExecutiveDirector
Governor'sJusticeCommission
OneCapitolHill,4thFloor
Providence,RI02908-5803

Contact:DavidLeDoux
Phone:(401)277-2620
Fax:(401)277-1294

SouthCarolina

SandyGibson
InterimAdministrator
OfficeofSafetyandGrants
DepartmentofPublicSafety
5400BroadRiverRoad
Columbia,SC29210-4088

Contact:GingerDukes
Phone:(803)896-8707
Fax:(803)896-8714
lan@mail06.scdps.state.sc.us(contact)
cgi@mail06.scdps.state.sc.us(S.Gibson)

SouthDakota

JamesD.Hagen
ChiefofStaff
AttorneyGeneral'sTaskForceonDrugs
StateCapitolBuilding
500EastCapitolAvenue
Pierre,SD57501-5070

Contact:WandaL.Fergen
Phone:(605)773-6313
Fax:(605)773-6471

Tennessee

PatriciaB.Dishman
Director
OfficeofCriminalJusticePrograms

DepartmentofFinanceandAdministration
1400AndrewJacksonBuilding
500DeaderickStreet
Nashville,TN37243-1700

Contact:JeanneNorris
Phone:(615)532-2986
Fax:(615)532-2989

Texas

NancyS.Hugon
ActingExecutiveDirector
CriminalJusticeDivision
OfficeoftheGovernor
P.O.Box12428
CapitolStation
Austin,TX78711

Contact:RobertJ.Bodisch,Sr.
Phone:(512)463-1806
Fax:(512)475-2440

Utah

S.CamilleAnthony
ExecutiveDirector
CommissiononCriminalandJuvenile
Justice
StateCapitolBuilding
Room101
SaltLakeCity,UT84114

Contact:LauraLewis
Phone:(801)538-1031
Fax:(801)538-1024

Vermont

JamesWalton,Jr.
Commissioner
VermontDepartmentofPublicSafety
WaterburyStateComplex
103SouthMainStreet
Waterbury,VT05676-0850

Contact:Capt.DonaldRavenna
Phone:(802)244-8781
Fax:(802)244-1106

Virginia

BruceC.Morris
Director
DepartmentofCriminalJusticeServices
805EastBroadStreet,10thFloor
Richmond,VA23219

Contact:JoeMarshall
Phone:(804)786-1577
Fax:(804)371-8981

Washington

KatherineKrieter
AssistantDirector
WashingtonStateDepartmentof
Community,Trade&Economic
Development
906ColumbiaStreetS.W.
P.O.Box48300
Olympia,WA98504

Contact:PaulPerz
Phone:(360)586-8411
Fax:(360)586-0489
paulp@cted.wa.gov

WestVirginia

JamesM.Albert
Director
OfficeofCriminalJustice&Highway
Safety
DepartmentofMilitaryAffairs&Public
Safety
1204KanawhaBoulevardEast
Charleston,WV25301

Contact:MelissaCrawford
Phone:(304)558-8814
Fax:(304)558-0391

Wisconsin

FredFalk
ExecutiveDirector
WisconsinOfficeofJusticeAssistance
222StateStreet,2ndFloor
Madison,WI53702

Contact:RaymondJ.Luick
Phone:(608)266-7282
Fax:(608)266-6676

Wyoming

ThomasJ.Pagel
Director
DivisonofCriminalInvestigation
316West22ndStreet
Cheyenne,WY82002

Contact:SandraMays
Phone:(307)777-7181
Fax:(307)777-7252

Territories

AmericanSamoa
La'auliA.Filoiali'i
Director

CriminalJusticePlanningAgency
AmericanSamoaGovernment
ExecutiveOfficeBuilding,3rdFloor
PagoPago,AS96799

Contact:CraigKeener
Phone:(011)(684)633-5221
Fax:(011)(684)633-7894

CommonwealthoftheNorthernMariana
Islands

JackOgumoro
ExecutiveDirector
CriminalJusticePlanningAgency
CommonwealthoftheNorthernMariana
Islands
OfficeoftheGovernor
Saipan,MP96950

Contact:JackOgumoro
Phone:(011)(670)664-4550
Fax:(011)(670)664-4560
jack.ogumoro@saipan.com

Guam

VincentP.Arriola
Director
BureauofPlanning
Governor'sOffice
P.O.Box2950
Agana,GU96910

Contact:MikiLeonGuerrero
Phone:(011)(671)472-4201/4202
Fax:(011)(671)477-1812

PuertoRico

TheHonorableJos,A.FuentesAgostini
AttorneyGeneral
DepartmentofJustice
CommonwealthofPuertoRico

P.O.Box9020192
SanJuan,PR00902-0192

Contact:LuisM.Gonzalez-Javier
Phone:(787)725-0335
Fax:(787)725-6144

VirginIslands

RamonS.Davila
PoliceCommissioner/DrugPolicyAdvisor
VirginIslandsLawEnforcementPlanning
Commission
8172SubBase,Suite3
St.Thomas,VI00802

Contact:HeleneSmollett
Phone:(809)774-6400
Fax:(809)721-7280

Statutory Assurance

Pursuant to the provisions of 42 U.S.C. §3796kk-2, the applicant certifies that:

- (1) DNA analyses performed at the laboratory will satisfy or exceed the current standards for a Quality Assurance Program for DNA analysis issued by the Director of the Federal Bureau of Investigation under Section 14131 of Title 42 United States Code.
- (2) DNA samples obtained by and DNA analyses performed at the laboratory shall be made available only—
 - (A) to criminal justice agencies for law enforcement identification purposes;
 - (B) in judicial proceedings, if otherwise admissible pursuant to applicable statutes or rules;
 - (C) for criminal defense purposes, to a defendant, who shall have access to samples and analyses performed in connection with the case in which the defendant is charged; or
 - (D) if personally identifiable information is removed, for a population statistics database, for identification research and protocol development purposes, or for quality control purposes; and
- (3) the laboratory and each analyst performing DNA analyses at the laboratory shall undergo, at regular intervals not exceeding 180 days, external proficiency testing by a DNA proficiency testing program that meets the standards issued under 42 U.S.C. §14131, Quality Assurance and Proficiency Testing Standards.

Certifying Official

Title

Signature

Date